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| CECW-B Engineer Circular 11-2-179 | Department of the Army U.S. Army Corps of Engineers Washington, DC 20314-1000 | EC 11-2-179 31 March 2000 |
| | EXPIRES 31 MARCH 2001 Army Programs CORPS OF ENGINEERS CIVIL WORKS DIRECT PROGRAM PROGRAM DEVELOPMENT GUIDANCE FISCAL YEAR 2002 | |
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DEPARTMENT OF THE ARMY
U. S. Army Corps of Engineers
Washington, D. C. 20314-1000

CECW-B

Circular
No. 11-2-179

31 March 2000

EXPIRES 31 MARCH 2001
Army Programs
CORPS OF ENGINEERS CIVIL WORKS DIRECT PROGRAM
PROGRAM DEVELOPMENT GUIDANCE
FISCAL YEAR 2002

1. **Purpose.** This Engineer Circular (EC) provides guidance for development and submission of the Corps of Engineers direct Civil Works Program for Fiscal Year 2002 (FY02) and appropriate outyear periods. For programs with studies and projects, i. e., the General Investigations (GI); Construction, General (CG); Operation and Maintenance, General (O&M); and Flood Control, Mississippi River and Tributaries Project (MR&T) programs; and Formerly Utilized Sites Remedial Action Program (FUSRAP), the total period is ten years. For programs of an administrative nature, i. e., the General Expenses (GE), Flood Control and Coastal Emergencies (FC&CE), Regulatory Program, and Plant Replacement and Improvement Program (PRIP) part of the Revolving Fund (RF), the total periods are shorter. Specifically excluded from coverage are most research and development activities, including RF activities (excepting PRIP activities), activities funded by Permanent Appropriations (PA), and activities funded by the Coastal Wetlands Restoration Trust Fund (CWRTF).

2. **Applicability.** This EC applies to all headquarters elements, major subordinate commands (MSCs) districts, and field support activities having Civil Works Program responsibilities.

3. **References.**

- a. Budget of the United States Government, Fiscal Year 2000¹, Analytical Perspectives
- b. Web site, <http://155.75.78.40/acrobat.htm>, subject: Adobe Acrobat program package and instructions for downloading to personal computers.

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|----------------|-------------------|------------------|----------------|
| bc. | PL 84-99 | vu. | ER 11-1-320 |
| ed. | PL 92-500 | wv. | ER 11-2-220 |
| de. | PL 97-348 | xw. | ER 11-2-240 |
| ef. | PL 99-662 | yx. | ER 11-2-290 |
| fg. | PL 101-508 | zy. | ER 25-1-2 |
| gh. | PL 101-591 | aa. | ER 37-2-10 |
| hi. | PL 101-601 | baa. | ER 1105-2-100 |
| ij. | PL 102-580 | eebb. | ER 1110-1-8156 |
| jk. | PL 103-62 | edcc. | ER 1110-2-100 |
| kl. | EO 11514 | eedd. | ER 1110-2-1302 |
| lm. | EO 12088 | fee. | ER 1130-2-500 |
| mn. | EO 12512 | gff. | ER 1130-2-510 |
| no. | EO 12856 | hgg. | ER 1130-2-540 |
| op. | EO 12893 | ihh. | ER 1165-2-119 |
| pg. | EO 12906 | iii. | ER 1165-2-131 |
| qr. | OMB Circular A-11 | kkj. | ER 1165-2-400 |
| r. | AR 11-2 | llk. | EC 11-1-42 |
| s. | AR 385-10 | mm. | EC 11-2-174 |
| ts. | EM 1110-1-2909 | ll. | EC 25-1-276 |
| ut. | ER 5-1-11 | oo. | EP 385-1-58 |

4. **Distribution.** This information is approved for public release. Distribution is unlimited.

5. **Conventions.** The following designations are used for selected one-year periods:

CCY = current calendar year
CFY = current fiscal year (extending from 1 October CCY to 30 September CCY+1 before 1 January, latest, and 1 October CCY-1 to 30 September CCY thereafter)
PY = program year (CFY+2 before 1 October, next, and CFY+1 thereafter) = FY042
PY - 1 = one year before PY = FY0001
PY - 2 = two years before PY (CFY before 1 October, next, and CFY-1 thereafter) = FY9900
PY - 3 = three years before PY (CFY-1 before 1 October, next, and CFY-2 thereafter) = FY989
PY + N = program year plus N fiscal years.

Note that 1 October of PY-1 is 1 October of CCY, until 1 January, next, when it becomes 1 October of CCY-1.

6. Program Development.

a. Government Performance and Results Act Guidance.

(1) **Guidance Development Status.** Reference 1 k, the Government Performance and Results Act of 1993 (GPRA), requires that agencies have developed strategic plans, by 30 September 1997, and develop an annual performance plan by FY99 . annual performance plans and reports. Strategic plans are to cover a 5-year planning horizon beyond the program year and be updated every 3 years. Statutory requirements of GPRA apply at the Department of Defense level. But, as a matter of policy, the Office of Management and Budget (OMB) requires that the Corps' Civil Works Program comply with the requirements. GPRA stipulates that a consultation process with the Office of Management and Budget (OMB) and Congress must be completed before submission of any such strategic plan. A draft Civil Works Strategic Plan and the key elements of a FY99 Civil Works Annual Performance Plan were submitted to OMB in November 1996 to begin the required consultation process. A revised Civil Works Strategic Plan was resubmitted to OMB and Congress in August 1997. Revisions were made to respond to comments received from OMB and Congress. On March 23, 1998, the Civil Works Strategic Plan was transmitted to Congress. Strategic Plans were submitted through OMB to Congress in August 1997 and again in March 1998. Consensus and agreement were not achieved among the Corps, OMB, and Congress on those two submissions. As a living document, the plan will be updated regularly. The Act requires the Strategic Plan be revised at least every three years. OMB has issued general guidance in Circular A-11 requiring Strategic Plans be revised and resubmitted by September 30, 2000. Implications for formulating the 2001 Civil Works Program will be worked out as OMB formulates guidance for Civil Works Program Strategic Planning requirements. In August 1999 the Assistant Secretary of Army for Civil Works and the Chief of Engineers agreed on need to develop a new Civil Works Program Strategic Plan. Completion of the new plan is not expected until late in 2000; not in time to influence initial formulation of the FY02 program to be submitted to OMB in August. Implications of completing the plan later in the FY02 program development process will be worked out as coordination of the plan with OMB and Congress is accomplished.

(2) **Initial Guidance.** Appendix C provides guidance for program development for ~~five~~ six business functions within the Civil Works Operations and Maintenance, General, Program, ~~based on the findings of the Pilot GPRA Project performed by the O&M organization for OMB~~ (Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, Recreation and National Emergency Preparedness

Programs). The O&M Pilot GPRA Project was completed in FY96 and the findings and recommendations of the pilot project have been coordinated with OMB. The five business functions described in Appendix C constitute a subset of the nine results-oriented business programs included in the proposed Annual Performance Plan. Appendix C will provide insight, based upon the pilot experience, to how GPRA may shape program development, generally, as consultations with OMB and Congress continue.). The O&M organization successfully completed a results-oriented business program restructuring in 1996 as a Pilot GPRA Project for OMB. It is continuing to apply that structure for FY 2002 budget development.

b. Presidential Policy.

(1) OMB maintains 10-year planning estimates, or ceilings, for each appropriation account of the Civil Works Program. The ceilings reflect long-term effects of the President's policies for the various programs, projects, and activities funded by each account, and serve as benchmarks for use in evaluating Congressional actions. The 10-year period approximates the implementation life of projects from start to finish, and accommodates adequate definition of long-term resource requirements. These ceilings are presented, in whole or in part, for all accounts in the appendices covering the accounts.

(2) Economic assumptions underlying Presidential policy of reference a are reflected in Table 1. These assumptions, along with related assumptions and data, are shown for PY-1 through PY+19. The assumptions and related data cover base rates for federal civilian permanent workers, reflecting pay and burden factors; pay raises for these workers applicable to both changing and fixed base rates; and inflation for "goods and services" of federal civilian temporary and nonfederal workers, and nonpay items.

(a) Base rates (against which pay raises apply) reflect assumed pre-raise pay and burden rates. Pre-raise pay rates are 1.000, by definition, for regular pay, and assumed to be 0.02 for awards. Assumed burden rates reflect assumed government contributions for worker benefits. The rates comprise two parts - one part for government contributions under the Civil Service Retirement System (CSRS); the other, under the Federal Employee Retirement System (FERS). The first part (including contributions for retirement, health insurance, Medicare, and life insurance) is shrinking, while the second part (including contributions for regular, "Thrift Savings," and Old Age Survivors Disability Insurance (OASDI) retirement; health insurance; Medicare; and life insurance) is growing. This results from permanent force "attrition" and subsequent "turnover" through the hiring of more workers under FERS than under CSRS. With an annual permanent force attrition of 7 - 8% and associated turnover initially representing a considerable share of that, the CSRS part is expected to become negligible by FY20. Class 1 "updating factors" reflect the year-over-year change in base (resulting from change in burden), the associated year-over-year raises, and whatever raise absorption may pertain.

(b) Presidential policy pay raise assumptions for federal civilian permanent workers are shown in reference b, Table 1-1, entitled "Economic Assumptions." Assumed pay raise rates include base and locality components. (The base component is different from the base rate, discussed above, against which the base component applies.) Base components, reflecting the Employment Cost Index (ECI), apply nationally. Locality components, reflecting conditions of local markets, apply locally. Allocation of pay raise rates to base and locality components is based on the number and distribution of workers eligible for locality pay. For PY-2, the national allocation to these components was 0.348 and 0.0051, or 8679% and 4421% of the 0.03648 total raise rate. The national allocation for PY-1 has yet to be determined, therefore, the composite raise rate is used without refinement. Class 1 rates in Table 1 are based on composite raises for all years.

(c) Presidential policy inflation rates reflect assumed price increases for "goods and services" of temporary federal and nonfederal workers, and for nonpay items. The Budget Enforcement Act of 1997, PL 105-33, requires that the Gross Domestic Product (GDP) fixed weight year-over-year rates be used to develop "baseline estimates" reflecting, instead of Presidential policy, continued operations under current

law and current year appropriations. (The baseline program based on these estimates is discussed in OMB's Circular A-11, reference s.) At the recommendation of OMB, "Federal Nondefense Nonresidential Structure Construction" rates were used as Class 2 rates of Table 1. Class 2 "updating factors" reflect the year-over-year inflation and whatever inflation absorption may pertain.

c. Army Policy.

(1) All program support materials and documents will adhere to Army policy. Purposes to be considered include commercial navigation, flood damage reduction, including hurricane and storm damage reduction, and the restoration and protection of environmental resources, including fish and wildlife habitat, i. e., inland and coastal wetlands, other aquatic and riparian habitat, and upland habitat. Hydropower and/or municipal or industrial water supply may be included only if provided in conjunction with commercial navigation or flood damage reduction.

(2) Programs for the MR&T account will be developed in accordance with guidance provided for comparable programs of other accounts.

(3) For specifically authorized studies and projects the emphasis in the 10-year program is on maintaining continuity in the workflow once a new start decision has been made. In general, there are only two new start decision points for all Army proposed cost-shared projects - initiation of the reconnaissance phase study and project construction.

(4) Once the reconnaissance phase study is completed and the feasibility phase study has been initiated, follow-on work will be treated as continuing effort until a new construction start decision is made. If the project was not reviewed by Army or subject to efficiencies and controls of cost-sharing, a new start review and approval is needed for each, Preconstruction Engineering and Design (PED), and initiation of construction.

(5) Recommended new starts for major rehabilitation and dredged material disposal facilities projects will be included under the CG and MR&T accounts, and are discussed in Subappendix B-2. This emphasizes the importance of caring for existing facilities and that other types of new construction starts must compete with such projects for scarce resources in the future. Major rehabilitation and dredged material disposal facilities projects new starts will be characterized as construction-type new starts in testimony, press releases, and other communications. Ongoing major rehabilitation projects initiated between FY85 and FY91 will continue to be funded until fiscally complete under the O&M account. Program submission for these projects will be in accordance with procedures for continuing work in Subappendix C-2.

(6) The extent to which a study, project, or activity contributes to restoration or protection of environmental resources will influence the ranking of new start candidates, along with such other criteria as economics, engineering considerations, and sponsor support. Justified mitigation, restoration, and protection activities, fitting the definitions in Table 3 for these three categories, may be programmed. Consistent with the Water Resources Development Act of 1996 (WRDA 96), proposals for restoration and protection generally require 35% local cost sharing in the implementation and full nonfederal operation and maintenance of the completed work. Justified mitigation measures will be cost shared to the same degree that other project costs are shared or reimbursed. The fish and wildlife restoration initiative does not change the formulation, justification, or cost sharing for mitigation in implementing a water resources development projects.

(7) A complete and reliable Micro-computer Assisted Cost Estimating System (M-CACES) baseline cost estimate and realistic workflow and funding schedule are essential to preparing a 10-year program. Projections of work and funding requirements will be based on the schedule last presented to Congress,

extended as necessary by the project manager to include initiation and/or completion of construction. Such schedule extensions will reflect realistic expectations of the sponsor's financial capability. The funding schedules should be reviewed and adjusted continuously to reflect Congressional action, the sponsor's financial capability, and project progress.

c. Alternative Multiyear Programs.

(1) OMB ceilings reflect intent of the President's 10-year program from a national perspective. However, the Corps may recommend its own program within the overall ceiling for the Civil Works Program and, therefore, still generally consistent with that perspective. To this end, it can select alternative work mixes and associated funding levels, by account, that best meet scheduled commitments, program priorities, and capabilities. Emphasis or de-emphasis of programs, projects, and activities should always provide for the most efficient and productive use of funds, with focus on work flow and physical progress.

(2) In the interest of developing an optimum Civil Works Program, each MSC must develop at least two alternative multiyear programs - a "baseline program," based on Presidential policy and a "capability program," based on capability-level production.

(a) **Baseline Program.** For each account, each MSC must develop a realistic, multiyear program reflecting PY-2 work allowances and projected current year appropriations; fitting within the OMB 10-year planning ceiling; and meeting further requirements for program formulation presented in the appendix covering the account. Absent Congressional action on PY-1 appropriations, assume that the President's PY-1 program will be enacted and that funds will be appropriated and made available by 1 October of the current year. (Note that this is not the same baseline program represented by "baseline estimates" required by reference h, and discussed in reference s.)

(b) **Capability Program.** For each of its GI, CG, and MR&T accounts, as applicable, each MSC must develop a realistic multiyear program reflecting PY-2 work allowances and capability-level production. Additional new starts, non-cost-shared elements of studies and projects, separable elements, and restudies should be considered for this program. Any proposal to advance the latest schedule submitted to Congress for a particular study, project, or activity should be specifically identified. Supporting data should justify the need for the increase(s). Program year funding amounts for studies and projects of this program will be approved as program year capability amounts.

7. Cost Estimates.

a. **Economic Assumptions.** As explained above, the Administration's economic assumptions address inflation and adjustments through PY-1. Table 1 provides cost estimate updating rates based on these assumptions, extrapolated through PY+19. These rates may be extended beyond PY+19 using the procedures described in Footnote 16 of the table. They are used, as explained below, to update all study and project cost estimates.

b. **Updating.** As shown in Table 1, all costs of Corps work are grouped into just two "classes" - Class 1 and Class 2. Class 1 includes only costs of Corps civilian permanent workers. Class 2 includes all other costs, including costs of Corps civilian temporary workers. Each class has its own set of rates for cost estimate updating. Nevertheless, each set is used in the very same way - through execution of the "algorithm" described in the table. The two cost classes and their rates are discussed next.

(1) **Corps Civilian Permanent Worker Cost.** The Class 1 rates in Table 1 are applicable to the PY-1 pay raise base. They derive from "updating factors" incorporating effects of then-year pay raises and a changing pay raise base. The pay raises reflect standard nationwide pay raises and locality pay

increments. The breakdown between the two is based on local pay gaps and must be determined each year. Use these rates to update Corps civilian permanent worker cost estimates for all programmed work of all studies, projects, and activities.

(2) **Corps Civilian Temporary and NonCorps Worker and Nonpay Cost.** The Class 2 rates of Table 1 are applicable to the PY-1 base of all costs other than those for Corps civilian permanent workers, ranging from costs of Corps civilian temporary workers, and consultants and AEs used in the various preconstruction planning and construction stages of work, to real estate costs. They derive from "updating factors" reflecting standard nationwide inflation. Use these rates to update Corps civilian temporary and nonCorps worker and nonpay cost estimates for all programmed work of all studies, projects, and activities.

8. Project Economics.

a. **Discount Rates.** A discount rate of ~~6-7/8~~ 5/8% will be used to determine the "current" economics of any project. For projects funded for construction projects, the "applicable" rate is the one in effect when construction funds were first appropriated. For projects never funded for construction, the applicable rate is the "current" rate, unless the project qualifies for the 3 1/4% rate under the "grandfather" clause in Section 80 of the 1974 Water Resource Development Act. Executive Order 12893, "Principles for Federal Infrastructure Investment," requires that benefits, costs, and benefit-cost ratios for new infrastructure investments of all federal agencies be evaluated at a discount rate of 7% to facilitate comparison and decisionmaking. This rate approximates the average real pretax return to capital in the private sector. The Corps' new infrastructure investments include new start regular construction projects, resumptions, unstarted projects, unstarted separable elements, and reconstruction projects.

b. Evaluation.

(1) As required, in support of funding requests, benefit-cost ratios will be evaluated based on the benefits in the latest approved official document, such as a Feasibility Report, Chief of Engineers Report, Limited or General Reevaluation Report (LRR or GRR), Engineering Documentation Report (EDR), or other report. In computing BCRs, deflate the current project costs to the price levels of such benefits.

(a) **New Start and Continuing PED Projects.** For new start PED projects, the fiscal year of the approval date of the latest economic analysis must not precede the fiscal year of the MSC program submission by more than 3 years. For example, for any new PED project recommended in your June submission, the approval date of the document containing the most recent economic analysis can be no earlier than 1 October CCY-4 - the first day of PY-5, which year precedes the fiscal year of your submission by 3 years. If the fiscal year of the approval date is more than 3 years ago, you must perform a reevaluation to show that the project remains justified. Such reevaluation will be the first item of work upon receipt of funds and will be documented in an LRR to be submitted in support of any request for follow-on funding. The reevaluation will involve no major new analysis. It will be limited to reviewing and updating previous assumptions and limited surveying, sampling, and application of other techniques to develop a reasonable estimate of project benefits. For any continuing PED project, in order to assure currency of economic justification and sponsor acceptance, the fiscal year of the date of the latest approved economic analysis, or update, must not precede the fiscal year of the MSC submission by more than 3 years. Provided updates are performed in accordance with the plan in the feasibility report and/or the Project Management Plan, MSCs may approve them.

(b) **New Start Construction Projects.** For any project or element proposed as a new construction start, the fiscal year of the approval date of the latest economic analysis must not precede the fiscal year of the MSC program submission by more than 3 years. For example, for any new start construction project or element in your initial submission, the approval date of the document containing the most

recent economic analysis can be no earlier than 1 October CCY-4 - the first day of PY-5, which year precedes the fiscal year of your submission by 3 years. If the fiscal year of the approval date is more than 3 years ago, you must perform a reevaluation to show that the project remains justified. Such reevaluation will be the first item of work upon receipt of funds and will be documented in an LRR to be submitted in support of any request for follow-on funding. The reevaluation will involve no major new analysis. It will be limited to reviewing and updating previous assumptions and limited surveying, sampling, and application of other techniques to develop a reasonable estimate of project benefits. If the limited reevaluation uncovers major changes that could affect project formulation or sizing, then additional PED rather than construction funds must be requested to undertake a complete GRR.

(2) MSCs have approval authority for all LRRs and all other post-authorization documents for projects not requiring additional Congressional authorization and for which total federal costs do not exceed \$15 million. GRRs and GDMs for projects with total federal costs exceeding \$15 million must be approved by headquarters, U. S. Army Corps of Engineers (HQUSACE) (ATTN: CECW-P).

9. **Manpower.** No manpower data is required by this EC. CERM-M will use current resourcing standards of the ~~Force Configuration (FORCON) System~~ USACE Manpower - Corps of Engineers - Manpower Requirements Systems, discussed in reference ~~lmm~~, and PY-2 through PY+3 workload to develop PY manpower requirements by appropriation account for the OMB program submission. In early CCY+1, once the President's Program has been resolved for ~~FY00PY~~, then manpower data compatible with it will be input to CERM-M in accordance with the then current ~~FORCON~~ EC (to be published in January of CCY+1).

10. **Waivers.** All program submissions MUST comply with stated policy; however, MSCs are encouraged to request waivers, or clarification, as needed. Illustration 1 provides a standard format for requesting waivers. It has been filled in to show an example of the type of information which should be included in the request. Waivers may be requested to program for items which do not comply fully with guidance of this EC up until the supporting data required for the items is due.

11. Submissions.

a. **Summary.** Required MSC submissions, recipients, means of input, numbers of copies, and due dates are discussed at length in the appendices and summarized in Table 2. Due dates are designed to spread the workload. They must be met.

b. **Input Instructions.** Submissions are input electronically to ADP system databases, or to recipients by E-mail, ~~floppy-disk~~ file transfer protocol (FTP), or hardcopy. Input instructions are provided by various means, including, in addition to this EC, the OMABS, PRISM, and Requirement Statement Management System (RSMS) User's Manuals, and messages by E-mail or hardcopy.

(1) **ADP Databases.** Data is input to databases of up to four ADP systems. These include the Automated Information Systems Inventory System (AISIS), OMABS, PRISM, and RSMS. Data of AISIS and RSMS overlap somewhat, however, the focus of AISIS is requirements for existing AIS, whereas, the focus of RSMS is requirements for new automation systems or items.

(a) **AISIS.** Instructions for input to the AISIS database were provided by CEIM-L by memo of 5 Dec 95, subject: Automated Information System Inventory System (AISIS). These instructions cover input of Corps AIS requirements, both existing and new. Requirements include those of corporate systems (e. g., CEFMS, PRISM, etc.) and local systems (e. g., tasker tracking systems, etc.) for development, deployment, maintenance, upgrading, and/or replacement discussed in Appendix H. This database remains open, but input is required by the date shown under "Main Part" in Table 2.

(b) **OMABS.** Instructions for input to the OMABS database were recently provided by CECW-OM-B in the latest OMABS User's Manual. These instructions cover input for O&M activities of Appendix C (including non-CG major rehabilitation projects) and RP activities of Appendix F. (No such input is required for FC&CE activities of Appendix D). Help with instructions in this manual is available from each district's OMABS coordinator. This database is open; it will close on the date shown in Table 2.

(c) **PRISM.** Instructions for input to the PRISM database will be provided by CECW-BA in the updated PRISM User's Manual on or about 201 May. These instructions cover input for GI and CG activities, comparable activities of the MR&T project, and GE activities of appendices A, B, and E, respectively, and the O&M major rehabilitation activity of Appendix C. This database is open; it will close on the various dates shown under "General Investigations," "Construction, General," "Operations and Maintenance, General," and "General Expenses" in Table 2.

(d) **RSMS.** Instructions for input to the RSMS database were provided by CEIM-L in the latest RSMS User's Manual. These instructions cover input of automation requirements, including new AIS (e. g., new corporate computer programs like FORCON), hardware (e. g., personal computers, monitors, printers, and teleconferencing equipment; etc.), and software (e. g., wordprocessor upgrades, etc.), discussed in Appendix H. This database remains open; but input is required by the date shown under "Automation Costs" in Table 2.

(2) **E-mail and ~~Floppy Disc~~ FTP Data.**

(a) Justification Statements and Books.

- General.

Complete your updates of illustrations A-2.1 through A-2.4, B-2.4, B-4, C-2.5a through C-2.5c, C-4, and I-1.1 of the appendices for GI, CG, O&M, FC,MR&T, and FUSRAP items, as applicable, by dates specified in Table 2.

Use 10 point regular font of one kind only (such as Arial or Courier), automatic line height, line spacing of 1, and margins of 1" top and bottom, and 0.5" both sides. (In "File," "Page Setup," "Margins," set bottom margin at 1.5" and footer margin at 1.5" from bottom edge of page. This provides a 0.5" footer height for printing the footer and page number.) Number all pages at the bottom right.

Develop project completion schedules consistent with the President's budget funding amounts to be provided later, and reflect these schedules in your PB-2As by dates to be specified later. These schedules will be provided to the Appropriations Committees for the record. Do not show future advanced appropriations in the summarized financial data on your justification sheets. Prepare the summarized financial data in accordance with the examples in Illustration B-2.4 of Appendix B.

Major rehabilitation projects started after FY91 are part of the CG program; those started earlier are part of the O&M program.

Submit justification statements, as completed, via e-mail to Area Managers of CECW-BA, C, E, or W, as appropriate, for review. Coordinate e-mailing logistics with your Area Manager, beforehand.

- Initial Submission.

Submit justification statements for GI, CG, and FC,MR&T new starts, only. For GI, these include reconnaissance, feasibility, and PED study new starts. For CG, these include major rehabilitation, reimbursement, resumption, deficiency correction, reconstruction, dredged material disposal facility, and

unstarted projects, and unstarted separable elements new starts. For FC,MR&T, these include all of the above.

- Revised Submission.

Between the times of the initial and Congressional submissions, revised submissions may be required for various reasons, including changes in funding for PY-1 effected by appropriations. Submit these as specifically requested later.

- Congressional Submission.

The ultimate products of the justification development process are nine justification books for Congress - one for each division and one for Remaining Items. Each division is responsible for developing its own book using whatever software it chooses, such as computer-aided design (CAD) and Microsoft Word and Excel software. However, ultimately, each division must convert its book to an Adobe Acrobat 4.0 file for efficient electronic transmission and publication. In order to ensure that your book will "present" in the Adobe Acrobat file as it does in the development software file, you must select the Adobe Acrobat printer in the development software before finalizing your product in that software. For example, to ensure that what you see in Word is what you get in Adobe Acrobat, you must select "File," "Print," "Printer," "Acrobat PDFWriter" in Word before finalizing in Word. Doing this first of all will spare you untold lost time and frustration. Of course, if you want to print your finalized file at a local printer, simply select the printer and print, but do not modify the file while the local printer is selected.

In the table of contents, use lower case Roman numerals; on all other pages beginning with the summary, use Arabic numerals. On each page of the document and maps, show the date of Army's press conference (to be provided later) centered in the bottom margin, 1" from its bottom edge. Prepare status maps in accordance with reference y, except, do not include the disclosure statement noted in Appendix L, paragraph 1.

Justification documents for O&M major rehabilitation projects are the same (except Illustration B-2.1) as required for CG projects, including justification statements, status maps (included at the end of the O&M justification package), and PB-2As. For major rehabilitation of inland waterways locks and dams and associated structures, show half of funding from the Inland Waterway Trust Fund.

For other O&M projects, show funding for "operations" and "maintenance" work separately. Copy PY funding for these parts from guidance to be provided later, ensuring that the total of amounts copied matches your division's total. Update individual project amounts to reflect your latest projection of PY-1 obligations. (All of these amounts will be included in the OMABS database and accessible then.) Round all funding amounts to the nearest \$K. Add the following statement (less quotation marks) after the introductory paragraph for each category, as applicable:

"The requested amount includes an amount from the Special Recreation Use Fees Special Fund (SRUF) for recreation areas."

Include major rehabilitation requirements for projects as part of single line item entries on the justification of estimate statements with the following remark (less quotation marks) under "Reason for Change and Major Maintenance Items:"

"Includes Major Rehabilitation at \$XXX. See justification following this table."

Identify States for each of the following items: Scheduling Reservoir Operations, Inspection of Completed

Works, Project Condition Surveys, and Surveillance of Northern Boundary Waters. If the cost for more than one State is attributable mostly to one State, show all cost for that State.

Submit these as specifically requested later. Submit final versions, printed front to back and collated into a single book (with a cover like last year's, including the disclosure statement, and paginated and dated table of contents, budget summary, and status maps, as applicable) in a single Adobe Acrobat 4.0 file. Adobe Acrobat software and instructions for downloading to personal computers are available through reference b.

(b) **Other.** CECW-OM will provide instructions to cover FC&CE activities of Appendix D, requiring input by ~~floppy disc or~~ E-mail or FTP directly to that office by dates specified in Table 2.

(3) **Hardcopy Data.** Provide hardcopy items required (e. g., certifications, etc.) by dates specified in Table 2.

c. **Document Marking.** All submissions required by this EC are not to be released outside the Department of the Army. See ER 11-2-240, Appendix L, paragraph 1, for instructions regarding the marking of documents for restricted distribution.

12. Environmental Program.

a. **Goal.** Restoring and protecting the environment, including ecosystem functions and values as well as plant and animal communities, is an important goal which the Corps is pursuing through its Civil Works studies, projects, and programs. Collection and updating of environmental data enables tracking progress in meeting this goal, as well as presentation of information on Civil Works environmental activities to OMB, Army officials, other agencies, and various congressional committees and public groups.

b. **Reporting Requirements.** Environmental reporting requirements are detailed in Executive Orders and in OMB circulars and data requests. They are also detailed in the "U. S. Army Environmental Strategy Into the 21st Century," which categorizes environmental activities under the "four pillars" of compliance (pollution control); restoration (hazardous toxic and radiological waste (HTRW) cleanup); prevention (recycling, contaminant reduction); and conservation (mitigation, ecosystem restoration, protection).

c. **Work Categories.** Environmental work may be funded under one or more of six categories defined, along with related activities, in Table 3. However, most will be funded under one of the first three categories, which are subdivided to allow tracking of various types of wetlands activities.

d. **Input Instructions.** Environmental program data is both project/activity-specific and programmatic. Project/activity-specific data are input electronically to databases of two ADP systems - PRISM and OMABS. Programmatic data (e. g., for the RP, Section 1135 and 307A, and Coastal Wetlands Restoration Trust Fund accounts) are developed at HQUSACE. Instructions for input of project/activity specific data are provided by various means, including, in addition to this EC, the PRISM and OMABS User's Manuals, and messages by E-mail or hardcopy. All input must be entered by the date shown in Table 2, under "Main Part".

(1) **PRISM.** The database of this system contains data on funding as it was appropriated for PY-2 and/or programmed for PY-1 for environmental activities in the GI, CG, and MR&T accounts. Data for both PY-2 and PY-1 must be updated to reflect actual obligations and appropriations, and new data for the PY must be entered. The database includes two descriptive fields, one for PY-1 and another for the PY. Descriptions in these fields must explain concisely the work underway or scheduled, and identify

quantitative and/or qualitative outputs that funding is to achieve (e. g., acres of wetland to be restored, acres of habitat to be acquired, nature of resource to be restored, protected, or mitigated). Descriptions must be complete and not refer to a previous year's description.

(2) **OMABS.** The database of this system contains data on environmentally-related categories of the O&M account, including but not limited to 605.1, 605.5, 607.12, 608, 624.2, and 621.16. These categories are defined in Appendix C, Table C-2.3.

13. Balance-to-Complete Report. Districts will update the Balance-to-Complete Report (PRISM/PBS Report 46 15) for PED and construction projects by the date shown under "Main Part" in Table 2. Records for active status PED and construction projects must include total estimated federal costs. (PED balances-to-complete must include the federal costs of PED plus construction.) Give special attention to active status PED and construction projects, as they are ~~reported to the House Appropriations Committee on opening day of the annual program hearings~~ the subject of periodic Congressional questions on project balances-to-complete CECW-BA is the proponent of this report ~~however, CECW-BC/BE/BW area managers will review the contents of the report when necessary to meet requirements.~~

14. Certifications of Compliance. You must submit, to CECW-BD, at least two, and possibly four, certifications that your program submission complies with laws and an Executive Order. The two certifications always required include one by district commanders regarding compliance with an Executive Order on data sharing, and one by the MSC directors of programs management regarding compliance with law on use of management controls. The other two possibly required are both by district commanders - both regarding compliance with coastal barrier laws. Each certification is discussed below.

a. **Executive Order on Geospatial Data.** ER 1110-1-8156, "Policies, Guidance, and Requirements for Geospatial Data and Systems," and EM 1110-1-2909, "Geospatial Data and Systems, "assist USACE in protecting its investment in Geospatial data and systems and in complying with Executive Order 12906, entitled "Coordinating Geographic Data Acquisition and Access - The National Spatial Data Infrastructure (NSDI)." USACE collects a variety of geospatial data to produce products such as river and harbor maps, charts, and drawings; real estate maps; environmental and economic studies; and engineering studies and drawings.

(1) Paragraph 7.g(4) of the ER explains that, beginning with the FY97 Civil Works program cycle, each district commander will submit a certification, modeled after Illustration 2, certifying that his command has documented new Geospatial data that it has created and made this documentation (metadata) available via the National Geospatial Data Clearinghouse on the Internet. (Illustration 2 is included in Appendix B of the ER.) The certification is due by the date shown under "Main Part" in Table 2.

(2) Paragraph 8 of the ER explains that, beginning in the FY97 Civil Works Program cycle, USACE project engineers will include costs of complying with Executive Order 12906 in the mapping or other appropriate programs for civil works, military construction, and reimbursable projects. These costs are described in more detail in Chapters 3 through 9 of the EM and include making metadata files, inventorying old/archived Geospatial data, and accessing the clearinghouse.

b. **Coastal Barrier Laws.** OMB's Circular A-11, entitled "Preparation and Submission of Budget Estimates," Section 12.5(s) states that estimates must not include any new federal expenditures or financial assistance prohibited by the Coastal Barrier Resources Act (CBRA, PL 97-348). In addition, the Coastal Barrier Improvement Act of 1990, (PL 101-591), amending CBRA, requires that the Corps certify annually to Congress and the Secretary of Interior that it was in compliance with the provisions of CBRA, as amended, during the previous fiscal year. Therefore, each District Commander whose district includes

areas covered by the Coastal Barrier Resources System will submit two certifications - one modeled after each Illustration 3A and 3B certifying, respectively, that his program request is in compliance with these laws and that no funds were obligated in the past fiscal year (PY-2) for purposes prohibited by them. Note that PL 101-591 added new units to the Coastal Barrier Resources System. The certifications are due by dates shown under "Main Part" in Table 2.

c. **Management Control Law.** Federal agencies are required by law to establish "management controls" for the activities they manage, and to provide assessments of their effectiveness to the President and Congress, annually. To this end, functional proponents identify requirements for compliance with law, including safeguarding assets, ensuring adequate records, and promoting efficiency and effectiveness of program accomplishment, and reflect them in checklists. Army's management control effort, implemented by AR 11-2, specifically includes the Civil Works Program. The new management control checklist for Civil Works Program Development is provided as Illustration 4. This is for use by programs management organizations in MSCs and districts, as explained below:

(1) Use the checklist during development of your ~~FY99~~ program submission. District commands will use it first; then MSCs, when reviewing and modifying district submissions.

(2) A "no" response to a checklist question *suggests a potential* management weakness. However, if it is the result of a special case or specific exception, then probably there is no management weakness. You are the judge. If you determine that a weakness exists, you must correct it as quickly as resources and essential mission priorities permit. No upward reporting is required.

(3) If a management weakness requires the attention or awareness of the next higher level of management, it is a "*material weakness*." This is a judgment call on the relative seriousness of the problem. It is made at each progressive echelon, based on each manager's professional judgment. Material weaknesses discovered by districts are reported to the MSCs, which determine whether to report them to CECW-BD. The reports must specify corrective actions taken or planned. The highest echelon receiving the report will evaluate the corrective actions, provide assistance, if needed, and track progress. Consult AR 11-2 for help in determining whether a weakness is "material."

(4) Do not send checklists to HQUSACE.

Each MSC director of programs management will submit a certification, modeled after Illustration 5, certifying that the checklist was used by the districts, as applicable, and MSC. The certification is due by the date shown under "Main Part" in Table 2.

15. **Coordination.** The CECW staff will work closely with MSC office staffs throughout the program development process to assure that the CECW recommended program, as well as alternative programs, are thoroughly coordinated. Coordination will continue after receipt of OMB's passback and during development of Army's proposed appeal. The 10-year program will be revised, as necessary, to reflect resolution of the passback appeal and final President's Program.

FOR THE COMMANDER:



9 Appendices
APP A - General Investigations
APP B - Construction, General

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Chief, Programs Management Division
Directorate of Civil Works

APP C - Operation and Maintenance, General
APP D - Flood Control and Coastal Emergencies
APP E - General Expenses
APP F - Regulatory Program
APP G - Revolving Fund (Plant Replacement and Improvement Program (PRIP))
APP H - Automation Costs
APP I - Formerly Utilized Sites Remedial Action Program

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

| COST ITEM 1/ | | | | CY/FY | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|-------------------------|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| | | | | 99 | 00 | 01 | 02 | 03 | 04 | 05 | 06 | 07 | 08 | 09 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| | | | | ECONOMIC ASSUMPTIONS 2/ | | | | | | | | | | | | | | | | | | | | | |
| Class 1 | | | | | | | | | | | | | | | | | | | | | | | | | |
| Base | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pay | | | | | | | | | | | | | | | | | | | | | | | | | |
| Regular | | | | | | | | | | | | | | | | | | | | | | | | | |
| Awards | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Burden 3/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| CSRS | | | | | | | | | | | | | | | | | | | | | | | | | |
| Retirement | | | | | | | | | | | | | | | | | | | | | | | | | |
| Health Insurance 4/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Medicare 5/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Life Insurance 6/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| FERS | | | | | | | | | | | | | | | | | | | | | | | | | |
| Retirement | | | | | | | | | | | | | | | | | | | | | | | | | |
| Regular | | | | | | | | | | | | | | | | | | | | | | | | | |
| Thrift Savings Plan | | | | | | | | | | | | | | | | | | | | | | | | | |
| Basic | | | | | | | | | | | | | | | | | | | | | | | | | |
| Match | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Old Age Survivors Disability Insurance | | | | | | | | | | | | | | | | | | | | | | | | | |
| Health Insurance 4/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Medicare 5/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Life Insurance 6/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Composite | | | | | | | | | | | | | | | | | | | | | | | | | |
| Force 7/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Temporary | | | | | | | | | | | | | | | | | | | | | | | | | |
| Permanent | | | | | | | | | | | | | | | | | | | | | | | | | |
| Attrition 8/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| CSRS | | | | | | | | | | | | | | | | | | | | | | | | | |
| Turnover 9/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| FERS | | | | | | | | | | | | | | | | | | | | | | | | | |
| Anniversary 10/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Allocation | | | | | | | | | | | | | | | | | | | | | | | | | |
| CSRS | | | | | | | | | | | | | | | | | | | | | | | | | |
| FERS | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total (composite burden) | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total (burden) | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total (total pay and burden) | | | | | | | | | | | | | | | | | | | | | | | | | |
| Raise 11/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Applicable to Then-year Base | | | | | | | | | | | | | | | | | | | | | | | | | |
| Gross | | | | | | | | | | | | | | | | | | | | | | | | | |
| Absorption 12/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Net | | | | | | | | | | | | | | | | | | | | | | | | | |
| Applicable to PY-1 Base | | | | | | | | | | | | | | | | | | | | | | | | | |
| Pay | | | | | | | | | | | | | | | | | | | | | | | | | |
| Burden | | | | | | | | | | | | | | | | | | | | | | | | | |
| Base | | | | | | | | | | | | | | | | | | | | | | | | | |
| Updating Factor 13/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Class 2 | | | | | | | | | | | | | | | | | | | | | | | | | |
| Inflation | | | | | | | | | | | | | | | | | | | | | | | | | |
| Absorption 12/ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Updating Factor 14/ | | | | | | | | | | | | | | | | | | | | | | | | | |

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

| COST ITEM 1/ | | | CY/FY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------|-----|-------|------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|--------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|----|----|----|----|----|----|----|----|----|----|
| | | | 99 SIMPLE 15/ | 00 | 01 | 02 | 03 | 04 | 05 | 06 | 07 | 08 | 09 | COMPOUND 16/ | | | | | | | | | | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 |
| Class 1 | | | 1.040 | 1.039 | 1.046 | 1.093 | 1.139 | 1.186 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Oct | 17/ | | 1.034 | 1.042 | 1.038 | 1.097 | 1.141 | 1.185 | 1.236 | 1.292 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.658 | 1.726 | 1.797 | 1.871 | 1.947 | 2.025 | 2.107 | 2.191 | 2.277 | | | | | | | | | | |
| Nov | | | 1.034 | 1.042 | 1.038 | 1.097 | 1.141 | 1.185 | 1.236 | 1.292 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.658 | 1.726 | 1.797 | 1.871 | 1.947 | 2.025 | 2.107 | 2.191 | 2.277 | | | | | | | | | | |
| Dec | | | 1.034 | 1.042 | 1.038 | 1.097 | 1.141 | 1.185 | 1.236 | 1.292 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.658 | 1.726 | 1.797 | 1.871 | 1.947 | 2.025 | 2.107 | 2.191 | 2.277 | | | | | | | | | | |
| Jan | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Feb | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Mar | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Apr | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| May | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Jun | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Jul | | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | |
| Aug | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | | |
| Sep | | 1.042 | 1.038 | 1.049 | 1.092 | 1.138 | 1.187 | 1.238 | 1.291 | 1.347 | 1.405 | 1.465 | 1.527 | 1.591 | 1.657 | 1.726 | 1.797 | 1.870 | 1.946 | 2.025 | 2.106 | 2.190 | 2.278 | | | | | | | | | | | |
| Class 2 | | | 1.027 | 1.033 | 1.033 | 1.067 | 1.102 | 1.139 | 1.176 | 1.215 | 1.255 | 1.297 | 1.339 | 1.384 | 1.429 | 1.476 | 1.525 | 1.575 | 1.627 | 1.681 | 1.737 | 1.794 | 1.853 | 1.914 | | | | | | | | | | |
| Oct | 17/ | | 1.003 | 1.003 | 1.036 | 1.070 | 1.105 | 1.142 | 1.179 | 1.218 | 1.259 | 1.300 | 1.343 | 1.387 | 1.433 | 1.480 | 1.529 | 1.580 | 1.632 | 1.686 | 1.741 | 1.799 | 1.858 | 1.920 | | | | | | | | | | |
| Nov | | | 1.006 | 1.006 | 1.039 | 1.073 | 1.108 | 1.145 | 1.183 | 1.222 | 1.262 | 1.304 | 1.347 | 1.391 | 1.437 | 1.485 | 1.534 | 1.584 | 1.636 | 1.690 | 1.746 | 1.804 | 1.863 | 1.925 | | | | | | | | | | |
| Dec | | | | | 1.042 | 1.076 | 1.111 | 1.148 | | 1.225 | 1.266 | 1.307 | 1.350 | 1.395 | 1.441 | 1.489 | 1.538 | 1.588 | | 1.695 | 1.751 | 1.809 | 1.868 | 1.930 | | | | | | | | | | |
| Jan | | | | | 1.044 | 1.079 | 1.114 | 1.151 | | 1.228 | 1.269 | 1.311 | | 1.399 | 1.445 | 1.493 | 1.542 | 1.593 | | 1.700 | 1.756 | 1.814 | 1.874 | 1.935 | | | | | | | | | | |
| Feb | | | 4 | 1.014 | | 1.082 | 1.117 | 1.154 | | 1.232 | 1.272 | 1.314 | | 1.403 | 1.449 | 1.497 | 1.546 | 1.597 | | 1.704 | 1.761 | 1.819 | 1.879 | 1.941 | | | | | | | | | | |
| Mar | | | 7 | 1.017 | 1.0 | 1.085 | 1.120 | 1.157 | | 1.235 | 1.276 | 1.318 | | 1.406 | 1.453 | 1.501 | 1.550 | 1.601 | | 1.709 | 1.765 | 1.824 | 1.884 | 1.946 | | | | | | | | | | |
| Apr | | | 9 | 1.019 | 1.0 | 1.088 | 1.121 | 1.161 | | 1.238 | 1.279 | 1.322 | | 1.410 | 1.457 | 1.505 | 1.554 | 1.604 | | 1.714 | 1.770 | 1.828 | 1.889 | 1.951 | | | | | | | | | | |
| May | | | 2 | 1.022 | 1.0 | 1.091 | 1.124 | 1.164 | | 1.241 | 1.283 | 1.325 | | 1.413 | 1.460 | 1.508 | 1.557 | 1.607 | | 1.718 | 1.775 | 1.833 | 1.894 | 1.956 | | | | | | | | | | |
| Jun | | | 5 | 1.025 | 1.0 | 1.094 | 1.127 | 1.167 | | 1.244 | 1.286 | 1.328 | | 1.416 | 1.463 | 1.511 | 1.560 | 1.610 | | 1.723 | 1.780 | 1.838 | 1.899 | 1.962 | | | | | | | | | | |
| Jul | | | 8 | 1.028 | 1.0 | 1.097 | 1.130 | 1.170 | | 1.247 | 1.289 | 1.331 | | 1.419 | 1.466 | 1.514 | 1.563 | 1.613 | | 1.727 | 1.784 | 1.843 | 1.904 | 1.967 | | | | | | | | | | |
| Aug | | 0 | 1.030 | 1.0 | 1.099 | 1.132 | 1.172 | | 1.250 | 1.292 | 1.334 | | 1.421 | 1.468 | 1.516 | 1.565 | 1.615 | | 1.732 | 1.789 | 1.848 | 1.909 | 1.972 | | | | | | | | | | | |
| Sep | | 3 | 1.033 | 1.0 | 1.102 | 1.135 | 1.175 | | 1.253 | 1.295 | 1.337 | | 1.424 | 1.471 | 1.519 | 1.568 | 1.618 | | 1.737 | 1.794 | 1.853 | 1.914 | 1.977 | | | | | | | | | | | |

- 1/ Class 1 or Class 2. Class 1 includes "permanent" hire for items (including but not limited to benefits). Class 2 includes other items (including but not limited to temporary hire, and other labor).
- 2/ Class 1 "raise" rates are effective for calendar year; Class 2 "inflation" rates are effective for fiscal year.
- 3/ Generally, fraction of total pay contributed by the government is based on fractions of total pay for CSRS, Service, and FERS employees (including SES, GM, GS, and Wage Board employees), and other rate.
- 4/ Not based on pay, however, expressed as fraction of total pay.
- 5/ Based on "total" instead of "regular" pay; rates reflect adjustment for this.
- 6/ Only partially based on pay, however, expressed as fraction of "regular" pay.
- 7/ Manpower in fulltime equivalent employment years (FTEs).
- 8/ Fraction of permanent manpower lost, annually.
- 9/ Fraction of permanent manpower shifted (turned over) from CSRS to FERS coverage, annually.
- 10/ Number of FERS anniversary. (All federal permanent employees first hired after 1983 have been covered by FERS, created by Congress to bring federal workers under the Social Security System, beginning in 1984.)
- 11/ Applies to all permanent civilian workers, including SES, GM, GS, and Wage Board employees.
- 12/ Fraction of raise to be absorbed (not realized).
- 13/ Used in amounts of 1/4 for initial calendar year (CY) and 3/4 for final CY for any fiscal year (FY) of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 1 compound rate for FY02, use rates for FY01 as follows: $(1 + (1/4)(CY99 \text{ rate}) + (3/4)(CY00 \text{ rate})) \times (1 + (1/4)(CY00 \text{ rate}) + (3/4)(CY01 \text{ rate})) = (1 + (1/4)(0.038) + (3/4)(0.049)) \times (1 + (1/4)(0.049) + (3/4)(0.044)) = 1.093$.
- 14/ Used for any FY of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 2 compound rate for FY02, use rates for FY01 and 02 as follows: $(1 + FY01 \text{ rate}) \times (1 + FY02 \text{ rate}) = (1 + 0.033) \times (1 + 0.033) = 1.067$.
- 15/ Use FY00 annual rates to update estimates based on 1 Oct 98 prices to get estimates based on 1 Oct 99 prices. Use monthly rates in accordance with Footnote 17. (See first two points of Algorithm, and Example 1.)
- 16/ Use annual rates to update estimates based on 1 Oct 99 prices to get estimates based on 1 Oct 99 prices for year of interest. Use monthly rates in accordance with Footnote 17. (See last two points of Algorithm, and Example 2 and 3.) Determine the rate for years beyond FY20 by multiplying the FY20 rate by: $(1 + (FY20 \text{ rate} - FY19 \text{ rate}) / (FY19 \text{ rate}))^{n^{\text{th}} \text{ power}}$. For example, determine the Class 1 rate for FY24 by evaluating: $(2.278) \times ((1 + (2.278 - 2.190) / (2.190))^{4 \text{th power}}) = 2.666$. Determine the Class 2 rate evaluating: $(1.914) \times ((1 + (1.914 - 1.853) / (1.853))^{4 \text{th power}}) = 2.180$.
- 17/ Class 1 monthly rates are nonapplicable individually. They are included only to show month-wise parts of annual updating factors, reflecting annual start-of-calendar-year raises applicable for the full year. Do not use them to update estimates. On the hand, Class 2 monthly rates are applicable individually. They reflect continually accruing inflation over the full year of interest. Use these to update estimates based on 1 Oct 98 prices to get estimates based on end-of-month prices for any month of in. For improved accuracy, interpolate proportionally between successive rates.

Algorithm:

- o Update "work/workload." For each program/project/activity (PPA), revise the work/workload, as necessary, to best reflect reality.
- o Complete "base year cost estimates." For each PPA, given revised work/workload, inflate the cost estimate based on 1 Oct 98 prices to get the cost estimate based on 1 Oct 99 prices, by use of simple rates.
- o Update "execution schedules." For each PPA, revise the execution schedule to best reflect reality, spreading the cost estimate based on 1 Oct 99 prices accordingly.
- o Complete "full-inflation cost estimates." For each PPA, inflate the cost estimate based on 1 Oct 99 prices, as spread by the execution schedule, by use of compound rates.

Table 1
FY01 PROGRAM
COST ESTIMATE UPDATING
RATES

Examples: (Methods shown provide minimum acceptable accuracy. Refinements in these, theoretically providing greater accuracy, are permissible. Monthly rates of each class are provided to accommodate such refinement.)

1. Estimate "base year cost estimate" for a Class 1 item with a 1 Oct 98 cost of \$1M by evaluating:
$$(\$1\text{M in 1 Oct 98 prices})(\text{FY00 rate}) = (\$1\text{M})(1.039) = \$1.039\text{M}.$$
2. Estimate the remaining "full-inflation cost estimate" for a Class 1 item with scheduled multi-year cost, in base year prices, of \$100K, monthly, through 30 Jun 02 by evaluating:
$$(\$1.2\text{M in 1 Oct 99 prices}) + (\$1.2\text{M in 1 Oct 99 prices})(\text{FY01 rate}) + (\$0.6\text{M in 1 Oct 99 prices})(\text{FY02 rate}) = (\$1.2\text{M}) + (\$1.2\text{M})(1.046) + (\$0.6\text{M})(1.093) = \$3.111\text{M}.$$
3. Estimate the "full-inflation cost estimate" for a Class 2 item with scheduled multi-year costs, in base year prices, of \$10M, from 23 Apr 09 through 26 Sep 11 by evaluating:
 - contract period midpoint FY (FY in which midpoint of contract falls):
contract period = 23 Apr 09 through 26 Sep 11 = 2 years, 5 months, 3 days = 2.43 years;
period from start to midpoint of contract period = 2.43 years / 2 = 1.22 years;
date of midpoint of contract period = 23 Apr 09 + 1.22 years = 12 Jul 10;
midpoint FY = 10.
 - "full-inflation cost estimate" (reflecting inflation through midpoint FY):
$$(\$10\text{M in 1 Oct 99 prices})(\text{FY10 rate}) = \$10\text{M}(1.093) = \$10.93\text{M}.$$

Deleted

FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

[illegible]

Table 1
FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

| COST ITEM 1/ | | | CY/FY | | | | | | | | | | | | | | | | | | | | | |
|--------------|-------|-------|------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|--------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| | | | 00 SIMPLE 15/ | 01 | 02 | 03 | 04 | 05 | 06 | 07 | 08 | 09 | 10 | 11 COMPOUND 16/ | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 |
| Class 1 | | | 1.038 | 1.049 | 1.045 | 1.086 | 1.125 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.391 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.002 |
| Oct | 17/ | 1.042 | 1.037 | 1.053 | 1.089 | 1.128 | 1.165 | 1.209 | 1.252 | 1.297 | 1.343 | 1.391 | 1.439 | 1.489 | 1.541 | 1.593 | 1.647 | 1.703 | 1.760 | 1.818 | 1.878 | 1.939 | 2.004 | |
| Nov | | 1.042 | 1.037 | 1.053 | 1.089 | 1.128 | 1.165 | 1.209 | 1.252 | 1.297 | 1.343 | 1.391 | 1.439 | 1.489 | 1.541 | 1.593 | 1.647 | 1.703 | 1.760 | 1.818 | 1.878 | 1.939 | 2.004 | |
| Dec | | 1.042 | 1.037 | 1.053 | 1.089 | 1.128 | 1.165 | 1.209 | 1.252 | 1.297 | 1.343 | 1.391 | 1.439 | 1.489 | 1.541 | 1.593 | 1.647 | 1.703 | 1.760 | 1.818 | 1.878 | 1.939 | 2.004 | |
| Jan | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Feb | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Mar | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Apr | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| May | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Jun | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Jul | | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | |
| Aug | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | | |
| Sep | 1.037 | 1.053 | 1.042 | 1.085 | 1.124 | 1.166 | 1.208 | 1.252 | 1.297 | 1.343 | 1.390 | 1.439 | 1.489 | 1.540 | 1.593 | 1.647 | 1.702 | 1.759 | 1.817 | 1.877 | 1.939 | 2.001 | | |
| Class 2 | | | 1.027 | 1.032 | 1.032 | 1.065 | 1.099 | 1.134 | 1.171 | 1.208 | 1.247 | 1.287 | 1.328 | 1.370 | 1.414 | 1.459 | 1.506 | 1.554 | 1.604 | 1.655 | 1.708 | 1.763 | 1.819 | 1.878 |
| Oct | 17/ | 1.003 | 1.003 | 1.035 | 1.068 | 1.102 | 1.137 | 1.174 | 1.211 | 1.250 | 1.290 | 1.331 | 1.374 | 1.418 | 1.463 | 1.510 | 1.558 | 1.608 | 1.660 | 1.713 | 1.768 | 1.824 | 1.883 | |
| Nov | | 1.005 | 1.005 | 1.038 | 1.071 | 1.105 | 1.140 | 1.177 | 1.214 | 1.253 | 1.293 | 1.335 | 1.378 | 1.422 | 1.467 | 1.514 | 1.563 | 1.613 | 1.664 | 1.717 | 1.772 | 1.829 | 1.888 | |
| Dec | | 1.008 | 1.008 | 1.040 | 1.074 | 1.108 | 1.143 | 1.180 | 1.218 | 1.257 | 1.297 | 1.338 | 1.381 | 1.425 | 1.471 | 1.518 | 1.567 | 1.617 | 1.669 | 1.722 | 1.777 | 1.834 | 1.893 | |
| Jan | | 1.011 | 1.011 | 1.043 | 1.076 | 1.111 | 1.146 | 1.183 | 1.221 | 1.260 | 1.300 | 1.342 | 1.385 | 1.429 | 1.475 | 1.522 | 1.571 | 1.621 | 1.673 | 1.726 | 1.782 | 1.839 | 1.898 | |
| Feb | | 1.013 | 1.013 | 1.046 | 1.079 | 1.114 | 1.149 | 1.186 | 1.224 | 1.263 | 1.304 | 1.345 | 1.389 | 1.433 | 1.479 | 1.526 | 1.575 | 1.625 | 1.677 | 1.731 | 1.786 | 1.844 | 1.903 | |
| Mar | | 1.016 | 1.016 | 1.049 | 1.082 | 1.117 | 1.152 | 1.189 | 1.227 | 1.267 | 1.307 | 1.349 | 1.392 | 1.437 | 1.483 | 1.530 | 1.579 | 1.630 | 1.682 | 1.736 | 1.791 | 1.848 | 1.908 | |
| Apr | | 1.019 | 1.019 | 1.051 | 1.085 | 1.120 | 1.155 | 1.192 | 1.231 | 1.270 | 1.311 | 1.353 | 1.396 | 1.440 | 1.487 | 1.534 | 1.583 | 1.634 | 1.686 | 1.740 | 1.796 | 1.853 | 1.913 | |
| May | | 1.021 | 1.021 | 1.054 | 1.088 | 1.123 | 1.158 | 1.196 | 1.234 | 1.273 | 1.314 | 1.356 | 1.399 | 1.444 | 1.490 | 1.538 | 1.587 | 1.638 | 1.691 | 1.745 | 1.801 | 1.858 | 1.918 | |
| Jun | | 1.024 | 1.024 | 1.057 | 1.091 | 1.125 | 1.161 | 1.199 | 1.237 | 1.277 | 1.317 | 1.360 | 1.403 | 1.448 | 1.494 | 1.542 | 1.592 | 1.642 | 1.695 | 1.749 | 1.805 | 1.863 | 1.923 | |
| Jul | | 1.027 | 1.027 | 1.060 | 1.093 | 1.128 | 1.165 | 1.202 | 1.240 | 1.280 | 1.321 | 1.363 | 1.407 | 1.452 | 1.498 | 1.546 | 1.596 | 1.647 | 1.699 | 1.754 | 1.810 | 1.868 | 1.928 | |
| Aug | 1.029 | 1.029 | 1.062 | 1.096 | 1.131 | 1.168 | 1.205 | 1.243 | 1.283 | 1.324 | 1.367 | 1.410 | 1.456 | 1.502 | 1.550 | 1.600 | 1.651 | 1.704 | 1.758 | 1.815 | 1.873 | 1.933 | | |
| Sep | 1.032 | 1.032 | 1.065 | 1.099 | 1.134 | 1.171 | 1.208 | 1.247 | 1.287 | 1.328 | 1.370 | 1.414 | 1.459 | 1.506 | 1.554 | 1.604 | 1.655 | 1.708 | 1.763 | 1.819 | 1.878 | 1.938 | | |

- 1/ Class 1 or Class 2. Class 1 includes "permanent" hired labor items (including pay and benefits). Class 2 includes all other items, including "temporary" hired labor and nonfederal labor.
2/ Class 1 "raise" rates are effective for calendar year; Class 2 "inflation" rates are effective for fiscal year.
3/ Generally, fraction of total pay contributed by the government for benefits. Based on fractions of force participating in CSRS (Civil Service Retirement System) and FERS (Federal Employee Retirement System), and permanent force turnover rate.
4/ Not based on pay, however, expressed as fraction of "regular" pay.
5/ Based on "total" instead of "regular" pay; rates reflect adjustment for this.
6/ Only partially based on pay, however, expressed as fraction of "regular" pay.
7/ Manpower in fulltime equivalent employment years (FTEs).
8/ Fraction of permanent manpower lost, annually.
9/ Fraction of permanent manpower shifted (turned over) from CSRS to FERS coverage, annually.
10/ Number of FERS anniversary. (All federal permanent employees first hired after 1983 have been covered by FERS, created by Congress to bring federal workers under the Social Security System, beginning in 1984.)
11/ Applies to all permanent civilian workers, including SES, GM, GS, and Wage Board employees.
12/ Fraction of raise to be absorbed (not realized).
13/ Used in amounts of 1/4 for initial calendar year (CY) and 3/4 for final CY for any fiscal year (FY) of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 1 compound rate for FY03, use rates for FY00, FY01, and FY02 as follows:

$$(1 + (1/4)(CY00 \text{ rate}) + (3/4)(CY01 \text{ rate}))(1 + (1/4)(CY01 \text{ rate}) + (3/4)(CY02 \text{ rate})) = (1 + (1/4)(0.053) + (3/4)(0.042))(1 + (1/4)(0.042) + (3/4)(0.038)) = 1.086.$$

- 14/ Used for any FY of any period in calculating "Compound Rate" for final FY of the period. For example, in calculating the Class 2 compound rate for FY03, use rates for FY02 and 03 as follows:

$$(1 + FY02 \text{ rate})(1 + FY03 \text{ rate}) = (1 + 0.032)(1 + 0.032) = 1.065$$

- 15/ Use FY01 annual rates to update estimates based on 1 Oct 99 prices to get estimates based on 1 Oct 00 prices. Use monthly rates in accordance with Footnote 17. (See first two points of Algorithm, and Example 1.)
16/ Use annual rates to update estimates based on 1 Oct 00 prices to get estimates based on 1 Oct prices for year of interest. Use monthly rates in accordance with Footnote 17. (See last two points of Algorithm, and Example 2 and 3.) Determine the rate for years beyond FY21 by multiplying the FY21 rate by: $(1 + (FY21 \text{ rate} - FY20 \text{ rate})/(FY20 \text{ rate}))^{n \text{th power}}$. For example, determine the Class 1 rate for FY25 by evaluating:

$$(2.002)(1 + (2.002 - 1.939)/(1.939)4 \text{th power}) = 2.271.$$

Determine the Class 2 rate by evaluating:

$$(1.878)(1 + (1.878 - 1.819)/(1.819)4 \text{th power}) = 2.130.$$

- 17/ Class 1 monthly rates are nonapplicable individually. They are included only to show month-wise parts of annual updating factors, reflecting annual start-of-calendar-year raises applicable for the full year. Do not use them to update estimates. On the hand, Class 2 monthly rates are applicable individually. They reflect continually accruing inflation over the full year of interest. Use these to update estimates based on 1 Oct 99 prices to get estimates based on end-of-month prices for any month of interest. For improved accuracy, interpolate proportionally between successive rates.

Table 1
FY02 PROGRAM
COST ESTIMATE UPDATING
RATES

Algorithm:

- o Update "work/workload." For each program/project/activity (PPA), revise the work/workload, as necessary, to best reflect reality.
- o Complete "base year cost estimates." For each PPA, given revised work/workload, inflate the cost estimate based on 1 Oct 99 prices to get the cost estimate based on 1 Oct 00 prices, by use of FY01 simple rates.
- o Update "execution schedules." For each PPA, revise the execution schedule to best reflect reality, spreading the cost estimate based on 1 Oct 00 prices accordingly.
- o Complete "full-inflation cost estimates." For each PPA, inflate the cost estimate based on 1 Oct 00 prices, as spread by the execution schedule, by use of compound rates.

Examples: (Methods shown provide minimum acceptable accuracy. Refinements in these, theoretically providing greater accuracy, are permissible. Monthly rates of each class are provided to accommodate such refinement.)

1. Estimate "base year cost estimate" for a Class 1 item with a 1 Oct 99 cost of \$1M by evaluating:
$$(\$1\text{M in 1 Oct 99 prices})(\text{FY01 rate}) = (\$1\text{M})(1.049) = \$1.049\text{M}.$$
2. Estimate the remaining "full-inflation cost estimate" for a Class 1 item with scheduled multi-year cost, in base year prices, of \$100K, monthly, through 30 Jun 03 by evaluating:
$$(\$1.2\text{M in 1 Oct 00 prices}) + (\$1.2\text{M in 1 Oct 00 prices})(\text{FY02 rate}) + (\$0.6\text{M in 1 Oct 00 prices})(\text{FY03 rate}) = (\$1.2\text{M}) + (\$1.2\text{M})(1.045) + (\$0.6\text{M})(1.086) = \$3.106\text{M}.$$
3. Estimate the "full-inflation cost estimate" for a Class 2 item with scheduled multi-year costs, in base year prices, of \$10M, from 23 Apr 10 through 26 Sep 12 by evaluating:
 - contract period midpoint FY (FY in which midpoint of contract falls):
$$\begin{aligned} \text{contract period} &= 23 \text{ Apr } 10 \text{ through } 26 \text{ Sep } 12 = 2 \text{ years, } 5 \text{ months, } 3 \text{ days} = 2.43 \text{ years;} \\ \text{period from start to midpoint of contract period} &= 2.43 \text{ years} / 2 = 1.22 \text{ years;} \\ \text{date of midpoint of contract period} &= 23 \text{ Apr } 10 + 1.22 \text{ years} = 12 \text{ Jul } 11; \\ \text{midpoint FY} &= 11. \end{aligned}$$
 - "full-inflation cost estimate" (reflecting inflation through midpoint FY):
$$(\$10\text{M in 1 Oct 00 prices})(\text{FY11 rate}) = \$10\text{M}(1.370) = \$13.70\text{M}.$$

EC 11-2-179
31 Mar 00

| APPROPRIATION ACCOUNT: _____ * | | ILLUSTRATION 1 REQUEST FOR WAIVER PY THROUGH PY+4 PROGRAM (dollars in thousands \$K) | | | | | |
|---|-------|---|-------|-------|-------|---|--|
| DIVISION: _____ | | | | | | | |
| PROJECT NAME | PY | PY+1 | PY+2 | PY+3 | PY+4 | REASONS FOR WAIVER | |
| (GENERAL INVESTIGATIONS - PED program) | | | | | | | |
| PROJECT B | | | | | | | |
| Baseline Level | 250 | 180 | 100 | | | Fund as PY new construction start. PY-1 PED Congressional add advanced schedule 1 year. Sponsor working on financing now. PY & PY+1 funding adjusted to award 1st contract in 4th qtr of PY+1. | |
| Requested Amount | 325 | 215 | 0 | | | | |
| Change | 75 | 35 | (100) | 0 | 0 | | |
| (CONSTRUCTION, GENERAL - ongoing program) | | | | | | | |
| PROJECT A | | | | | | | |
| Baseline Level | 2,000 | 0 | 0 | 0 | 0 | Fund at capability level per request of project sponsor. Will advance completion by 8 months. No impact on outyear amounts. | |
| Requested Amount | 4,000 | 0 | 0 | 0 | 0 | | |
| Change | 2,000 | 0 | 0 | 0 | 0 | | |
| (CONSTRUCTION, GENERAL - new start program) | | | | | | | |
| PROJECT C | | | | | | | |
| Baseline Level | N/A | | | | | Recommended PY-1 new construction start. Selection Criterion 4 (cost estimate) not met. Authorized (NED) plan is backed by sponsor; financing is firm, with State support. Construction cost estimate is expected to be within 16% of authorized estimate, after inflation adjustment. Benefits are urban. BCR is 1.3 (at 7-1/8 <u>6 5/8</u> %). | |
| Requested Amount | 858 | 2,200 | 2,900 | 3,500 | 5,100 | | |
| Requested Amount | 858 | 2,200 | 2,900 | 3,500 | 5,100 | | |
| (TOTAL)* | | | | | | | |
| Baseline Level | | | | | | | |
| Requested Amount | | | | | | | |

* For each account; for the CG account, show the ongoing and new starts programs, separately.

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

ILLUSTRATION 2

DATE: _____

CERTIFICATION OF COMPLIANCE WITH SECTION 3(D) OF EXECUTIVE ORDER 12906
and SECTION 7.g(4) of ER 1110-1-8156

I hereby certify that the PY program for the _____ (district, division, or laboratory name) Civil Works Program does not include an implicit or explicit request for funds to collect, produce, or acquire Geospatial data that is available through the National Geospatial Data Clearinghouse and that all possible data collection partnerships identified through the Clearinghouse were investigated. The _____ (district, division, or laboratory name) has also contributed metadata to the National Geospatial Data Clearinghouse in accordance with ER 1110-1-8156.

Colonel, Corps of Engineers
Commanding

FOR ILLUSTRATIVE PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

EC 11-2-179
31 Mar 00

ILLUSTRATION 3 A

DATE: _____

CERTIFICATION OF COMPLIANCE WITH COASTAL BARRIER RESOURCES ACT

I hereby certify that the PY program for the _____ (district name) District Civil Works Program does not include a request for funds which would result in any new federal expenditures or financial assistance prohibited by the Coastal Barrier Resources Act (PL 97-348), as amended by the Coastal Barrier Improvement Act of 1990 (PL 101-591).

Colonel, Corps of Engineers
Commanding

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

ILLUSTRATION 3 B

DATE: _____

CERTIFICATION OF COMPLIANCE WITH COASTAL BARRIER RESOURCES ACT

I hereby certify that no Civil Works Program funds were obligated in PY-2 by the
_____ (district name) District for any new federal expenditures or financial
assistance prohibited by the Coastal Barrier Resources Act (PL 97-348), as amended by the Coastal
Barrier Improvement Act of 1990 (PL 101-591).

Colonel, Corps of Engineers
Commanding

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

ILLUSTRATION 4
MANAGEMENT CONTROL EVALUATION CHECKLIST

FUNCTION. The function covered by this checklist is Civil Works Program Development.

PURPOSE. The purpose of this checklist is to assist programs management organizations in USACE major subordinate commands (MSC) and districts in evaluating key management controls in development of their annual program requests. It is not intended to cover all controls.

INSTRUCTIONS. Become thoroughly familiar with the contents of the Program EC and read paragraph 15 before completing the checklist.

TEST QUESTIONS:

1. Does the 10-year program provide for continuity in the workflow once the new start decisions are made?

Response: YES_____ NO_____ NA_____

Remarks:

2. Are projections of work and funding requirements consistent with current approved project management schedules?

Response: YES_____ NO_____ NA_____

Remarks:

3. Do study and PED schedules include all steps/milestones through the completion of construction?

Response: YES_____ NO_____ NA_____

Remarks:

4. Are funding schedules continuously reviewed and adjusted to reflect Congressional actions, the local sponsors' financial capability, and project progress?

Response: YES_____ NO_____ NA_____

Remarks:

5. Does development of the multi-year programs follow the guidance included in the applicable appendices of the Program EC?

Response: YES_____ NO_____ NA_____

Remarks:

6. Are alternative multi-year program proposals fully documented?

Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

7. Is the multi-year Capability program independent of the other programs, yet consistent with Army policy and approved project cooperation agreements?

Response: YES_____ NO_____ NA_____

Remarks:

8. Have the "Class 1" rates of Table 1, "PY Program, Cost Estimate Updating," been applied to the pay-related costs for civilian employees?

Response: YES_____ NO_____ NA_____

Remarks:

9. Have the "Class 2" rates of Table 1, "PY Program, Cost Estimate Updating," been used to update costs for consultants and AEs used in the various preconstruction planning and construction stages of work?

Response: YES_____ NO_____ NA_____

Remarks:

10. Have the "Class 1" and "Class 2" rates of Table 1, "PY Program, Cost Estimate Updating," been used for the period PY-1 through PY+19 for all activities?

Response: YES_____ NO_____ NA_____

Remarks:

11. Has the procedure in Footnote 8 of Table 1, "PY Program, Cost Estimate Updating," been used to determine rates for use in updating cost estimates beyond PY+19?

Response: YES_____ NO_____ NA_____

Remarks:

12. Are the appropriate discount rates being used to compute the benefit-cost ratios of projects?

Response: YES_____ NO_____ NA_____

Remarks:

13. Is the fiscal year of the approval date of the current economic analysis:

a. for new and continuing PED, not more than three years older than the fiscal year of the submission date of the program request to HQUSACE?

Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

b. for new construction starts, not more than three years older than the fiscal year of the assumed program decision date by the Administration and Congress?

Response: YES_____ NO_____ NA_____

Remarks:

14. Were benefit-cost ratio computations based on benefits in the latest approved economic analyses and current project costs deflated to the price levels of such benefits?

Response: YES_____ NO_____ NA_____

Remarks:

15. Are new start recommendations justified based on NED benefits, or responsive to restoration and protection of environmental resources, including fish and wildlife habitat, i. e., inland and coastal wetlands, other aquatic and riparian habitat, and upland habitat?

Response: YES_____ NO_____ NA_____

Remarks:

16. Do recommended new construction starts have firm M-CACES baseline cost estimates?

Response: YES_____ NO_____ NA_____

Remarks:

17. Have new start recommendations been screened according to the criteria established in the Program EC?

Response: YES_____ NO_____ NA_____

Remarks:

18. Are the projects programmed for construction in PY through PY+9 based on the estimates and schedules established for them in programmed studies and PED projects, as applicable?

Response: YES_____ NO_____ NA_____

Remarks:

19. Are data in the Construction, General, and General Investigations illustrations compatible, showing that:

a. construction is programmed in the fiscal year following PED completion?

Response: YES_____ NO_____ NA_____

Remarks:

ILLUSTRATION 4 (Continued)
MANAGEMENT CONTROL EVALUATION CHECKLIST

b. project cost estimates are identical?

Response: YES_____ NO_____ NA_____
Remarks:

[NOTE: Help make this a better tool for evaluating management controls. Submit suggestions for improvement to HQUSACE (CECW-BD), Washington, D. C. 20314-1000.]

ILLUSTRATION 5

DATE: _____

CERTIFICATION OF USE OF MANAGEMENT CONTROL EVALUATION CHECKLIST

I hereby certify that the PY _____ (major subordinate command name)
Division Civil Works Program was developed making full use of the Management Control Evaluation
Checklist.

Director of Programs Management

FOR ILLUSTRATION PURPOSES ONLY
(TO BE TYPED AS NECESSARY)

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2001 2002 BUDGET | | | | | | | |
|---|---|--------------------------------------|---------------------|---|--------------|--------------------------------------|---|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC/FTP | HARD COPY | | |
| MAIN PART | | | | | | | |
| MAIN | Illustration 1, Request for Waiver | 4/ CECW-B Area Manager | | | X | 2 | 4/6/ |
| | Environmental Data into for PRISM and OMABS | NA | X | | | NA | 30 Jun |
| | Balance-to-Complete Report (PRISM/PBS) | NA | X | | | NA | 45 31 Dec |
| | Illustration 2, Certification of Compliance with Section 3(D) of Executive Order 12906 | CECW-BD | | | X | 1 | 15 Aug |
| | Illustration 3A, Certification of Compliance with Coastal Barrier Resources Act (Program Request) | CECW-BD | | | X | 1 | 15 Aug |
| | Illustration 3B, Certification of Compliance with Coastal Barrier Resources Act (Past Fiscal Year) | CECW-BD | | | X | 1 | 15 Oct |
| | Illustration 5, Certification of Use of Management Control Evaluation Checklist | CECW-BD | | | X | 1 | 22 Jun |
| GENERAL INVESTIGATIONS | | | | | | | |
| A-2 | Illustration A-2.1, New Start Reconnaissance Phase Study, <u>Justification Statement</u> <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> | CECW-BC/BE/BW Area Manager | | 4/ 4/ 5/ | | 1 | 8 Jun 6/ 6/ |
| | Illustration A-2.2, Cost-shared Feasibility Study - Continuing , <u>Justification Statement</u> <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> | CECW-BC/BE/BW Area Manager | | 4/ 4/ 5/ | | 1 | 8 Jun 6/ 6/ 22 Jun 6/ 6/ |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued) | | | | | | | |
|---|--|--|---------------------|--------------------------------------|--------------|--------------------------------------|---|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC/FTP | HARD COPY | | |
| GENERAL INVESTIGATIONS (Continued) | | | | | | | |
| | Illustration A-2.3, Full Federal Expense Feasibility Study - Continuing , <u>Justification Statement</u> New Initial Revised Congressional Continuing Initial Revised Congressional | CECW-BC/BE/BW Area Manager | | 4/ 4/ 5/ 4/ 4/ 5/ | | 1 | 8 Jun 6/ 6/ 22 Jun 6/ 6/ |
| | Illustration A-2.4, Preconstruction Engineering and Design, <u>Justification Statement</u> New Initial Revised Congressional Continuing Initial Revised Congressional | CECW-BC/BE/BW CECW-BC/BE/BW Area Manager | | 4/ 4/ 5/ 4/ 4/ 5/ | | 1 4 | 8 Jun 6/ 6/ 22 Jun 6/ 6/ |
| | Illustration A-2.5, Data Summary Table (Baseline Level) | NA | X | | | NA | 30 Jun |
| | Illustration A-2.6, Data Summary Table (Information Level) | NA | X | | | NA | 30 Jun |
| | Extension of PED Funding | CECW-BW | | 4/ | X | 31 | 1 Jul |
| | | | | | | | |
| A-3 | Illustration A-3.1, District Breakdown | CECW-BW | | 4/ | X | 41 | 8 Jul |
| | Illustration A-3.2, Special Investigations - Work Accomplished | CECW-BW | | 4/ | X | 41 | 8 Jul |
| | Illustration A-3.3, Planning Assistance to States - Priority Listing | CECW-BW | | 4/ | X | 41 | 8 Jul |
| | Illustration A-3.4, International Water Studies | CECW-BW | | 4/ | X | 41 | 8 Jul |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued) | | | | | | | |
|---|---|--------------------------------------|---------------------|--------------------------------------|--------------|-------------------|---------------------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC/FTP | HARD COPY | | |
| GENERAL INVESTIGATIONS (Continued) | | | | | | | |
| | Illustration A-3.5, Floodplain Management Services | CECW-BW | | 4/ | X | 41 | 8 Jul |
| CONSTRUCTION, GENERAL | | | | | | | |
| B-2 | Baseline Level PB-2a | NA | X | | | NA | 30 Jun |
| | Environmental Information info for Environmental Program Database | NA | X | | | NA | 30 Jun |
| | Illustration B-2.1, Project Data Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.2A, Federal (Corps) Funding Requirements Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.2C, Other Federal Agency Funding Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.2D, Non-federal Cash Contributions and Other Costs Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.2E, Harbor Maintenance Trust Services Fund Requirements Summary | NA | X | | | NA | 30 Jun |
| | Illustration B-2.3, Completions Summary - Construction | NA | X | | | NA | 30 Jun |
| | Illustration B-2.4, PY Justification Statement <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> | CECW-BC/BE/BW <u>Area Manager</u> | | 4/ 4/ 5/ 4/ 4/ 5/ | | 1 | 6/1 Jun 6/ 6/ 6/ 6/ |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2001-2002 BUDGET (Continued) | | | | | | | |
|---|--|--------------------------------------|---------------------|-------------------------------|--------------|--------------------------------------|-------------------------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC/FTP | HARD COPY | | |
| CONSTRUCTION, GENERAL (Continued) | | | | | | | |
| | Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary | CECW-BC/BE/BW <u>Area Manager</u> | | 4/ | X | 31 | 1 Jun |
| | Illustration B-2.7, Construction Eligibility Checklist | CECW-BC/BE/BW <u>Area Manager</u> | | 4/ | X | 10 | 1 Jun |
| | Feasibility Report, EDR, LRR or GRR | CECW-BC/BE/BW <u>Area Manager</u> | | | X | 3 | 6/ |
| | Maps for New Start Regular Construction, Reimbursement, Resumption, Major Rehabilitation, Dam Safety Assurance, Deficiency Correction, Reconstruction, Dredged Material Disposal Facilities, and Unstarted Projects, and Unstarted Separable Elements <u>New</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> <u>Continuing</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> | CECW-BC/BE/BW <u>Area Manager</u> | | 5/ | X | 10 | 1 Jun 6/ 6/ 6/ 6/ 6/ |
| | Reconnaissance Report for New Deficiency Correction, Reconstruction, Dam Safety Assurance, and Dredged Material Disposal Facilities Projects | CECW-BC/BE/BW <u>Area Manager</u> | | | X | 3 | 1 Jun |
| | Evaluation Report for New Major Rehabilitation Projects | CECW-OM-B | | | X | 3 | 15 Mar |
| | EDR or Reevaluation Report for Resumptions, Unstarted Projects, and Unstarted Separable Elements | CECW-BC/BE/BW <u>Area Manager</u> | | | X | 3 | 1 Jun |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued) | | | | | | | |
|---|---|--------------------------------------|---------------------|------------------------------|--------------|--------------------------------------|-------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISCFTP | HARD COPY | | |
| CONSTRUCTION, GENERAL (Continued) | | | | | | | |
| | Approved M-CACES baseline cost estimate (summary sheets) for New Start Regular Construction, Reimbursement, Resumption, Major Rehabilitation, Deficiency Correction, Reconstruction, and Unstarted Projects, and Unstarted Separable Elements | CECW-BC/BE/BW <u>Area Manager</u> | | 4/ | X | 1 | 1 Jun |
| | | | | | | | |
| B-3 | Continuing Authorities Program | NA | X | | | 1 | 6/ |
| | | | | | | | |
| B-4 | Illustration B-4 | CECW-BE | | | X | 1 | 15 Jun |
| OPERATION AND MAINTENANCE, GENERAL | | | | | | | |
| C-2 | Work Package information into computer by district | NA | X | | | NA | 145 May |
| | Final MSC Rankings into computer | NA | X | | | NA | 448 Jun |
| | Environmental Information into computer | NA | X | | | NA | 30 Jun |
| | Baseline Level PB-2a for O&M-Funded Major Rehabilitation Projects | CECW-BC <u>Area Manager</u> | | X | X | 41 | 30 Jun |
| | Evaluation Report for Major Rehabilitation Projects | CECW-BC <u>Area Manager</u> | | | X | 3 | 15 Mar |
| | Illustration B-2.4, PY Justification Sheet for O&M-Funded Major Rehabilitation Projects | CECW-BC <u>Area Manager</u> | | 5/ | | NA | 6/1 Jun |
| | Illustration C-2.1, Supplemental Justification - Major Maintenance | CECW-BC <u>Area Manager</u> | | X | X | 31 | 448 Jun |
| | Illustration C-2.2, Dredged Material Management Plans | CECW-BC <u>Area Manager</u> | | X | X | 31 | 1 Jul |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued) | | | | | | | |
|---|--|--------------------------------|---------------------|---|---------------|--------------------------------------|---------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC FTP | HARD COPY | | |
| OPERATION AND MAINTENANCE, GENERAL (Continued) | | | | | | | |
| | Illustration C-2.5, Justification of Estimate (Congressional Submission) | CECW-B <u>Area Manager</u> | | 5/ | | 1 | 6/ |
| | | | | | | | |
| C-3 | Illustration C-3.1, National Emergency Preparedness - Recommended Program | CECW-OE-P | | <u>X</u> | X | 31 | 15 Jun |
| | Illustration C-3.2, National Emergency Preparedness - Recommended Program Supporting Data | CECW-OE-P | | X | | 1 | 15 Jun |
| | | | | | | | |
| C-4 | Illustration C-4.1, Supplemental Information Sheet for Recreation Facilities at Completed Projects | CECW-ON | X | <u>X</u> | X | 21 | 15 Jun |
| FLOOD CONTROL AND COASTAL EMERGENCIES | | | | | | | |
| D | Illustration D-1, Program Request, Flood Control & Coastal Emergencies | CECW-OE-M | | X | | 1 | 1 Jul |
| | Illustration D-2, Supporting Data | CECW-OE-M | | X | | 1 | 1 Jul |
| | Illustration D-3, Emergency Management Program Data Sheet | CECW-OE-M | | X | | 1 | 1 Jul |
| GENERAL EXPENSES | | | | | | | |
| E-2 | Illustration E-2.1, Appropriation Summary Justification | CERM-B | | X | X | 1 | 68 Jun |
| | Illustration E-2.2, Personnel Summary Justification | CERM-B | | X | X | 1 | 68 Jun |
| REGULATORY PROGRAM | | | | | | | |
| F | Regulatory Program | CECW-B <u>OR</u> | 8/ | <u>X</u> | 8/ | 8/1 | 2015 Jun |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 2004-2002 BUDGET (Continued) | | | | | | | |
|---|--|---|------------------------|---|-----------------------------|--------------------------------------|--------------------------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISC FTP | HARD COPY | | |
| REVOLVING FUND PLANT REPLACEMENT AND IMPROVEMENT PROGRAM | | | | | | | |
| G | PRIP - Current Year Request | CERM-B | X | X | X | 2 | 30 Jun |
| | New Major Items | CERM-B | X | X | X | 2 | 30 Apr |
| | Update of Continuing Major Items | CERM-B | X | X | X | 2 | 30 Jun |
| | Three-year PRIP Original Initial Midyear Review Updates as needed | CERM-B CERM-B CERM-B | X X X | X X X | X X X | 2 2 2 | 15 Oct 15 Apr 6/ |
| | Current Year Obligation/Expenditure Schedule | CERM-B | | X | X | 2 | 15 Apr 15 Jul 15 Nov |
| | Category Transfer Report | CERM-B CERM-B CERM-B CERM-B | | X X X X | X X X X | 2 2 2 2 | 15 Jan 15 Apr 15 Jul 15 Oct |
| AUTOMATION COSTS | | | | | | | |
| H-4 | Information Technology Investment Portfolio System (ITIPS) | NA | X | | | NA | 31 Jan |
| | Three-year PRIP (original initial) | CERM-B | | X | X | 1 | 15 Oct |
| FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM (FUSRAP) | | | | | | | |
| I | FUSRAP Data | NA | X | | | NA | 15 Jun |
| | Illustration I-1.1, <u>Formerly Utilized Sites Remedial Action Program, Justification Statement,</u> <u>Initial</u> <u>Revised</u> <u>Congressional</u> | CECW-BA | 4/ 4/ 5/ | X | | 1 | 15 Jun 6/ 6/ |

| TABLE 2 SUMMARY OF SUBMISSION REQUIREMENTS FY 20042002 BUDGET (Continued) | | | | | | | |
|--|---|-----------------|---------------------|------------------------------|--------------|--------------------------------------|-------------------|
| EC PART | SUBMISSION | | | | | | |
| | ITEM | RECIPIENT 1/ | INPUT MEANS | | | C O P I E S 2/ | DUE DATE 3/ |
| | | | ADP DATA BASE | E-MAIL/ FLOPPY DISCFTP | HARD COPY | | |
| FOOTNOTES: | | | | | | | |
| 1/ | All floppy disc and hardcopy submissions will be sent to the recipient shown, WASH, DC 20314-1000. | | | | | | |
| 2/ | Including original. | | | | | | |
| 3/ | If date shown falls on a weekend or holiday, the date of the next workday becomes the due date. | | | | | | |
| 4/ | Submit to the recipient by the due date for the item. <u>Microsoft files.</u> | | | | | | |
| 5/ | Word documents. <u>Adobe Acrobat files.</u> | | | | | | |
| 6/ | 1 June for new start construction, major rehabilitation, dam safety assurance, reimbursement, resumption, deficiency correction, reconstruction, dredged material disposal facility, and unstarted projects, and unstarted separable elements; date will be specified later for continuing projects. | | | | | | |
| 7/6/ | As will be specified if and when item is requested. | | | | | | |
| 8/ | See instructions in Appendix F. | | | | | | |

| TABLE 3 CORPS OF ENGINEERS - CIVIL WORKS ENVIRONMENTAL PROGRAM DATABASE DEFINITIONS | |
|---|--|
| <u>Definitions of Categories</u> | |
| 1. <u>Mitigation.</u> | Measures authorized by Congress or approved by headquarters to compensate for ecological resources unavoidably affected by a Corps project or activity. Includes stand-alone projects; work undertaken concurrently with project construction; and operation, maintenance and management of completed mitigation measures. |
| 2. <u>Restoration.</u> | Measures undertaken to return a degraded ecosystem's functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. The goal of restoration is to return the environmental study area to as near a natural condition as is justified and technically feasible. Priority will be given to restoration where a Corps project contributed to the degradation of the ecosystem and to modifications of existing Corps projects when such modifications are the most cost-effective means of restoring the ecological resources. [Note: HTRW cleanup is now a separate category.] |
| 3. <u>Protection.</u> | Protection consists of measures undertaken to protect and preserve an ecosystem's functions and values against future degradation as part of the operation, maintenance and management of a Corps project (e. g., natural resources management, and environmental dredging studies). It may be appropriate to include protection measures as an integral part of an ecosystem restoration project. However, for programming purposes, such measures are to be reported under the "restoration" category, as part of the overall restoration project. |
| 4. <u>Cleanup.</u> | Measures undertaken to achieve compliance with Federal or State laws or regulations to clean up hazardous, toxic and radioactive wastes (HTRW) on lands associated with Corps projects in planning or under construction, or on lands managed by the Corps (e. g., site studies, Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) remedial actions, Resource Conservation and Recovery Act (RCRA) corrective actions, and cleanups related to leaking underground storage tanks). Includes items reported under OMB Circular A-106. |
| 5. <u>Compliance.</u> | Measures undertaken to achieve or sustain compliance with Federal or State laws or regulations under Clean Water Act, Clean Air Act, and other pollution control laws. Includes items reported under OMB Circular A-106. [Note: Measures to comply with the National Environmental Policy Act and the Endangered Species Act should now be reported along with other planning and construction costs under Mitigation or Restoration, as appropriate.] |
| 6. <u>Prevention.</u> | Measures undertaken to implement Executive Order 12856, Federal Compliance With Right to Know Laws and Pollution Prevention Requirements. |
| <u>Definitions of Activities Within Categories</u> | |
| 1. <u>Wetlands.</u> | Measures involving wetlands, as defined in the Corps of Engineers 1987 Manual for Identifying and Delineating Jurisdictional Wetlands. [Mitigation, Restoration, and Protection Categories only.] |
| a. <u>Restoration/Creation.</u> | [formerly Conservation and Creation subactivities] Non-regulatory measures to restore or create wetlands. Includes programs for the purchase or donation of easements on wetlands. Includes construction and planning costs, as well as activities to evaluate the initial success and continued management of these projects. |
| b. <u>Watershed Planning.</u> | Technical assistance to States, Indian Tribes, local governments, or regional entities with wetland management authorities for the purpose of assisting non-Federal entities programs to protect or manage wetlands. Includes Section 22 activities. |
| c. <u>Mapping.</u> | Measures to systematically collect geographically referenced information about the distribution, abundance, or characteristics of wetlands. Includes expenditures to produce and distribute aerial photographs, maps, or digital products. |
| d. <u>Land Acquisition.</u> | Costs to acquire land for the purposes of mitigation, restoration, and protection of existing wetlands. |
| 2. <u>Other Ecological Resources.</u> | Activities other than those related to wetlands. [Mitigation, Restoration, Protection, Cleanup, Compliance and Prevention Categories] |

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GENERAL INVESTIGATIONS
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| Organization and Structure | A-1.2..... | A-1-3 |
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SUBAPPENDIX A-1
GENERAL INVESTIGATIONS
(RCS CECW-B-12)

A-1.1. **Applicability.** This appendix provides Program guidance and procedures for all activities in the General Investigations (GI) appropriation title and comparable ones from the Flood Control, Mississippi River and Tributaries (MR&T) appropriation title, where appropriate. A listing of all GI activities follows. MR&T activities are listed only when applicable. The list identifies the location of guidance within this appendix for each Category/Class/Subclass and categorizes the responses that Divisions are required to make by this EC.

| Activity | Category/ Class/ Subclass | | Guidance Provided in Subappendix | Division Response (Yes or No) |
|---|---------------------------------|---------|--|-------------------------------------|
| | GI | MR&T | | |
| Navigation Studies | 901-110 | | | |
| Navigation - Reconnaissance | -111 | 908-111 | A-2 | Yes |
| Navigation - Feasibility | -112 | -112 | A-2 | Yes |
| Flood Damage Prevention Studies | -120 | | | |
| Flood Damage Prevention - Reconnaissance | -121 | -113 | A-2 | Yes |
| Flood Damage Prevention - Feasibility | -122 | -114 | A-2 | Yes |
| Shoreline Protection Studies | -130 | | | |
| Shoreline Protection - Reconnaissance | -131 | | A-2 | Yes |
| Shoreline Protection - Feasibility | -132 | | A-2 | Yes |
| Special Studies | -140 | | | |
| Special - Reconnaissance | -141 | -115 | A-2 | Yes |
| Special - Feasibility | -142 | -116 | A-2 | Yes |
| Watershed/Ecosystem - Reconnaissance | -143 | | A-2 | Yes |
| Watershed/Ecosystem - Feasibility | -144 | | A-2 | Yes |
| Comprehensive Studies | -150 | | | |
| Comprehensive - Reconnaissance | -151 | -117 | A-2 | Yes |
| Comprehensive - Feasibility | -152 | -118 | A-2 | Yes |
| Review of Authorized Projects | -160 | | | |
| Review of Deferred - Reconnaissance | -161 | | A-2 | Yes |
| Review of Deferred - Feasibility | -162 | | A-2 | Yes |
| Review of Completed - Reconnaissance | -163 | | A-2 | Yes |
| Review of Completed - Feasibility | -164 | | A-2 | Yes |
| Review of Marginal O&M Projects | -166 | | NA | No |
| Review of Local Protection Projects | -167 | | NA | No |
| Drought Contingency Planning (See O&M) | -168 | | NA | No |
| Special Investigations | -171 | | A-3 | Yes |
| FERC Licensing Activities | -172 | | A-3 | Yes |
| Interagency Water Resources Development | -173 | | A-3 | Yes |
| Inventory of Dams | -174 | | NA | No |
| National Estuary Program | -175 | | A-3 | Yes |
| North American Waterfowl Management Program | -176 | | A-3 | Yes |
| National Marine Fisheries Program | -177 | | A-3 | Yes |

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31 Mar 00

| Activity | Category/ Class/ Subclass | | Guidance Provided in Subappendix | Division Response (Yes or No) |
|--|---------------------------------|---------|--|-------------------------------------|
| | GI | MR&T | | |
| Interagency and International Support | 901-178 | | A-3 | Yes |
| Coordination with Other Water Resources Agencies | -181 | | A-3 | Yes |
| Water Quality Management | -184 | | NA | No |
| Coastal Zone Management | -185 | | NA | No |
| Planning Assistance to States | -186 | | A-3 | Yes |
| National Wild & Scenic Rivers System | -187 | | NA | No |
| Technical and Engineering Assistance on Shore and Streambank Erosion (Sec 55) | -188 | 908-119 | NA | No |
| Legislative Phase I Studies (FDP) | -194 | -132 | A-2 | Yes |
| Collection and Study of Basic Data | NA | -120 | NA | No |
| Stream Gaging | -210 | | NA | No |
| Precipitation Studies | -220 | | NA | No |
| International Waters Studies | -240 | | A-3 | Yes |
| Flood Plain Management Services | -250 | | A-3 | Yes |
| Hydrologic Studies | -260 | | A-3 | Yes |
| Scientific and Technical Information Centers | -270 | | NA | No |
| Coastal Field Data Collection | -280 | | NA | No |
| Transportation Systems | -291 | | NA | No |
| Environmental Data Studies | -292 | | NA | No |
| Flood Damage Data | -295 | | NA | No |
| Automated Information Systems Support | -294 | | NA | No |
| Research and Development | -300 | | NA | No |
| | -500 | | NA | No |
| Preconstruction Engineering and Design | | | | |
| Projects not yet Authorized for Construction | -400 | -140 | A-2 | Yes |
| Watershed/Ecosystem Projects | -410 | | | |
| Navigation Channels and Harbors | -421 | -141 | | |
| Navigation Locks and Dams | -422 | | | |
| Beach Erosion Control | -440 | | | |
| Flood Control, Local Protection | -451 | -142 | | |
| Flood Control Reservoirs | -452 | | | |
| Multiple Purpose Power | -460 | | | |
| Projects Authorized for Construction | -600 | -160 | A-2 | Yes |
| Watershed/ecosystem Projects | -610 | | | |
| Navigation Channels and Harbors | -621 | -161 | | |
| Navigation Locks and Dams | -622 | | | |
| Beach Erosion Control | -640 | | | |
| Flood Control, Local Protection | -651 | -162 | | |
| Flood Control Reservoirs | -652 | | | |
| Multiple Purpose Power | -660 | | | |

A-1.2. **Organization and Structure.** Subappendix A-2 includes all specifically Programmed activities - Surveys, Restudies/Reviews, Legislative Phase Is, and Preconstruction Planning and Design (PED). It provides guidance on feasibility studies and PEDs, including new starts. Subappendix A-3 covers all other activities funded by the General Investigations appropriation title and the Flood Control, Mississippi River and Tributaries counterparts.

SUBAPPENDIX A-2
SPECIFICALLY PROGRAMMED STUDIES AND PROJECTS - NEW AND CONTINUING

A-2.1. **Ten-Year Programs.**

a. **Overview and Objectives.** The major objective of the General Investigations program is to study and design projects that provide solutions to water resources problems. Each division's ten-year program should be developed and conducted in such a manner that an orderly flow of urgently needed, properly designed, locally supported projects that are in accord with current policies and priorities are available for inclusion in the Corps construction program. The reconnaissance phase must be programmed not to exceed 12 months, unless written approval has been received from HQUSACE (CECW-P) to extend beyond 12 months, and the feasibility study period should be 36 months or less. Preconstruction engineering and design (PED) for most projects should be scheduled for accomplishment within two years of completion of the feasibility report with engineering appendix. In such a manner a project can be made available for construction about six years after initiating the reconnaissance phase.

b. **Program Expenditure Ceilings.** Illustration A-2.6 provides a listing of the Division Program Expenditure Ceilings for, studies and projects, excluding CECW Programmed Items, for PY through PY+9. The ceilings have been developed based on a review of actual expenditures for each Division from PY-5 through PY-3 as well as current and projected requirements and as such represent the recent trend in capability that Division has exhibited in executing GI studies and projects in conjunction with the GI ceilings provided the Corps by the Office of Management and Program (OMB).

c. **Baseline Level.** (PRISM LVL C) Each Division will submit a ten-year program of continuing studies. Only studies and projects that adhere to existing legislation and current policy may be included within the ten-year program. The ten-year program will include specifically authorized continuing studies and projects.

d. **Decrement Below Baseline Level.** A decrement below baseline level is not required; however, each study and project must be prioritized as discussed in paragraph A-2.2 in order that division priorities may be respected, in so far as possible, in developing any nationwide decrement program that may ultimately be required.

e. **Capability Level.** (PRISM LVL C) This is an additional level that will include the new additional studies and projects that also adhere to existing legislation and current policy. Schedules of studies and projects included in the baseline level may be advanced when that opportunity is available. A capability program that exceeds the expenditure ceilings in excess of 25% of that reflected by Illustration A-2.6 must be accompanied by a waiver addressing the MSCs ability to execute the capability program level. The capability line will be utilized for developing the recommended program.

f. **Completion of Studies and Projects to be Terminated under current Policy.** Programming for ongoing studies and projects which do not meet the current policy criteria should be ~~limited to funds for execution~~ in compliance with the post PY-1 Appropriations video teleconference-agreed upon fact sheets.

A-2.2. **Prioritization.**

a. **Ranking.** Each specifically Programmed activity will be assigned a relative priority. This ranking should be developed after evaluation of the considerations outlined in the following paragraph.

b. **CECW Program.** CECW will review the GI portion of the Civil Works Program considering the national criteria in effect mid-summer PY-2 and guidance from ASA(CW) and OMB. It may or may not be possible to include all specifically Programmed studies that each Division recommends or that the Division included in the baseline level program. CECW may increase or decrease the total for GI. In such a case additional studies/projects may be accepted from your capability program. CECW will consider some or all of the following in developing the final Program:

- accord with current policy
- urgency of implementation of problem solution
- chance of economic viability of recommended plan
- local support for continuation of activity
- chance of non-Federal participation in implementation of solution
- scheduled activity completion date
- impact on fish and wildlife and/or wetland resources

A-2.3. **Program Description and Procedure.**

a. **Feasibility Studies.**

(1) **Description.**

(a) **Regular Studies.** This encompasses all studies in Codes 901-110 through 153 and 908-111 through 118 and includes continuing studies, Federally funded and cost-shared, and new starts for reconnaissance phase studies. Cost sharing is not applicable to single purpose inland navigation studies on the nations inland waterways system in accordance with ER 1105-2-100, para 2-12.b.(4).

(b) **Restudy of "Deferred" Projects/Review of Completed Projects.** A reconnaissance and then a feasibility phase at 50-50 cost sharing will be required for all studies unless the sole purpose of study is to dispose of a Federal project or reduce Federal expenses (i.e., disposal or turn over to local interests lock and dam projects with little or no commercial traffic). In this case the funding will be 100% Federal. For studies utilizing the "Review of Completed Projects" (Section 216), authority there must be an initial appraisal or reconnaissance report prepared using O&M funds under Inspection of Completed Works or individual projects prior to recommending a new start (reconnaissance or feasibility depending on the depth of study under O&M) under the General Investigations Program. The initial appraisal or reconnaissance report prepared under the O&M program should be limited to an expenditure of \$20,000. If more than \$20,000 is required, approval should be requested from CECW-OM, including sufficient information to justify the additional expenditure. Review of an operating Corps project may provide an effective mechanism for evaluating problems and opportunities in a watershed context. In such cases, the initial appraisal would be the vehicle for determining whether the project meets current day needs as well as identifying key stakeholders for participation in the subsequent feasibility process. The Restudy of Deferred Projects is the term used to examine a project that has been authorized but unconstructed for a number of years and local interests now wish to pursue implementation of a project. A reconnaissance study would be done to determine if the authorized project remains justified and meets current day needs. If so, the next step would be a PED resumption. If not, and if the reconnaissance determines that there is a justified alternative, a cost shared feasibility study would be conducted. PEDs programmed without a preceding feasibility study and PED resumptions must be reflected in PRISM database as an 'E' correlating with the subparagraph of section A-2.3.b(1). The studies/projects programmed in accordance with this

paragraph should utilize the appropriate Category/Class/Subclass (CCS) of paragraph A-1.1 that correlates with the Business Program when initiating a new phase and discontinue the use of the 160 CCSs.

(2) Eligibility and Selection for Funding.

(a) **New.** Eligible new starts include all active authorized feasibility studies which have not received an initial work allowance. The needs to be addressed should be of broad national scope and significance and should include at least one of the following: commercial navigation; inland navigation; flood damage reduction; hurricane and storm damage reduction; reallocation of existing storage or addition of storage to an existing project that would increase vendible outputs where there is no construction cost to the Federal government; and restoration of degraded ecosystem functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. (Within the restoration category of studies, priority will be accorded to cases where Corps projects contributed to the degradation of the ecosystem or where modification of existing Corps projects is the most cost effective means of restoring the ecological resources). Final selection for inclusion in the program will require justification on the specifics and history of the need or problem. The justification should be able to demonstrate the urgency for funding of the reconnaissance phase in the PY. In addition, based on recent expression of community interest, the Division Commander should believe there is a potential sponsor for the feasibility phase, one who understands the two-phase process and who would be willing to participate. Funds to initiate a new reconnaissance study will be issued with initial FY work allowances; however, the 12-month reconnaissance phase will be measured from the date of initial obligation of funds. Proposals for new Reviews of Completed projects must be accompanied by the completed initial appraisal or reconnaissance report prepared with O&M funds.

(b) **Continuing.** All active authorized continuously funded studies or previously funded cost shared studies that local interests fully support and that are judged likely to lead to implementation of a solution are eligible for funding in the PY. In addition, the study must address at least one of the needs of commercial navigation, flood damage reduction, hurricane and storm damage reduction, or restoration of fish and wildlife resources.

(c) **Resumption.** A General Investigations resumption is a study which was stopped but can now be resumed. Specifically a study that (1) was not included in the PY-1 Program or was not funded in the conference report which accompanied the PY-1 appropriation act and (2) was not funded in the conference report which accompanied the PY-2 appropriation act is a resumption. Where resumption of a feasibility study, that has heretofore been fully Federally funded, is proposed, the PY request will be for an update of the reconnaissance phase consistent with current policies at full Federal expense. Further work on the feasibility phase will be cost shared 50-50. Resumptions will be considered New Starts for eligibility and selection for funding purposes.

b. **Preconstruction Engineering and Design (PED).** PED will now be undertaken as an up-front cost shared program with local sponsors. Sponsors must assure that they understand and are ready to sign a PED cost sharing agreement and have funds available to finance the PED portion of the design of a project. PED will ultimately be cost shared at the rate for the project to be constructed but will be initially financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction. There are five programs of PED.

(1) **Description.**

(a) **PED Under the Concepts of Two-phase and Cost-shared Planning.** A PED that results from cost shared studies conducted under the two phase procedures will be programmed and justified as a continuing activity. Normally initial funding will be programmed in the fiscal year the feasibility report with engineering appendix is completed. Normally funds will be allotted immediately after the Division Engineer's Notice. These projects will not have to compete for new start status and will be included in the Program request as continuing activities as long as the anticipated project to be recommended is in accord with current priorities and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract. The project data summary, Illustration A-2.5, includes a data element to distinguish PEDs in this group from the other PED types.

(b) **Traditional PED.** This includes PED on projects that have resulted from feasibility studies that were not accomplished under the two phase, cost-shared planning process. Normally, initial funding will be programmed in the fiscal year the feasibility report is completed. Funds will be allotted immediately after the Division Engineer's Notice if the funds have been Programmed and appropriated. These projects will have to compete for new start status and will not be included in a Program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

(c) **PED for ~~these~~ Projects Authorized for Planning and Engineering Only.** PED for projects authorized for planning and engineering by the Water Resources Development Act of 1986 are included in this group. These projects will be Programmed for initiation of PED only after new start selection by ASA(CW) and concurrence by OMB. By definition, the planning and engineering phase will include all work required to submit a feasibility report with engineering appendix, and will be cost shared 50/50 with local interests. In accordance with Section 301 of Water Resources Development Act of 1990, if the sponsor provides 50 percent of the cost of the feasibility study the design phase will be treated as cost of construction. The design phase will include all work after the feasibility phase, including the Design Documentation Report (DDR) and plans and specifications for the first significant contract, and will be cost shared according to project purpose. A non-Federal sponsor must be ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. Normally, there will be no reconnaissance phase for these projects unless specifically approved for inclusion in the program by CECW-P. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction.

(d) **PED for Inland Navigation Projects.** PED for inland navigation projects will be programmed in accordance with the instructions in paragraph b(1)(a) above, except that a non-Federal sponsor for financing 25% of the PED phase is not necessary.

(e) **Other PED.** PED for projects which are not adequately described by the preceding subparagraphs of section A-2.3.b.(1). Normally, initial funding will be programmed in the fiscal year the supporting report is completed. These projects will have to compete for new start status and will not be

included in a program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

(2) Eligibility and Selection Criteria.

(a) **New.** Potential new starts described under A-2.3.b. (1) (b)(c) and (e) above include all active projects/ studies which have not received an initial work allowance for PED (Codes 901-4xx or 6xx and 908-14x or 16x) or projects that were reclassified to "inactive" or "deferred" categories and (see paragraph A-2.3 a. (1)(b) and (e)) subsequently reclassified to "active" which meet the following:

1. For fully Federally funded feasibility reports other than inland waterway projects a Division Engineer notice recommending the project will be issued by June of the PY; or
2. The project was authorized for planning and engineering only by the Water Resources Development Act of 1986; and
3. The project has net economic benefits at the current interest rate; and
4. The primary project outputs are commercial navigation, inland navigation; flood damage reduction; hurricane and storm damage reduction; or restoration of degraded ecosystem functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. (Within the restoration category of studies, priority will be accorded to cases where Corps projects contributed to the degradation of the ecosystem or where modification of existing Corps projects is the most cost effective means of restoring the ecological resources.); and
5. There is no major unresolvable controversy or issue; and
6. There is an identified and willing sponsor who understands and has the ability to finance PED at the 25% rate and has the ability to finance the items of local cooperation for construction.

Note that projects previously funded but with no conference allowance in the prior three fiscal years will be treated as new starts. Also, projects will be prioritized by impact on fish and wildlife and/or wetland resources (see Table B-2.1).

(b) **Continuing.** Any active project for which PED funds were previously and continuously (see paragraph A-2.3b.(2)(a)) appropriated or any project that has resulted from cost-shared studies conducted under the two phase procedure may be included if the following are met:

- there is a strong probability of implementing a solution; and
- the activity meets criteria 3, 4, 5, and 6 under subparagraph (a) above.

A-2.4. **Program Considerations.**

a. Program amounts should be based on the PY-1 program, when applicable. Assumed PY-1 work allowances must be based on a proportional assignment of 15% savings and slippage applied against the amount included for each study and project in the conference report which accompanies the PY-1 appropriations act, or the PY-1 program in the absence of Congressional action on the PY-1 appropriations. Studies and projects may show a reprogramming of funds to offset the assigned savings and slippage amount, if necessary. In general, funds should be reprogrammed from negative reconnaissance and feasibility studies to meet the full requirements of other ongoing studies and projects. However, unless specific exception has been made by CECW-B, such reprogrammings must be offsetting within each Division. Final savings and slippage reductions will be based on Congressional action on the PY-1 appropriations.

b. Cost estimates and the schedules presented to Congress should be considered an upper limit and where possible the studies should be concluded sooner and at less cost. Any proposed cost estimate increase which results from an increase in study scope will require a commitment to study cost sharing of the additional study effort by the local sponsor. If a waiver of this requirement is considered appropriate a specific proposal must be made and justification provided.

c. As stated in paragraph A-2.1.a. PED should be programmed for an accomplishment goal of two years of funding after completion of the feasibility report.

d. Study and PED cost estimates are to include an allowance for inflation in accordance with the instructions of paragraph 6 of this EC. The construction project cost estimate displayed in the PED portion of Illustration A-2.5 and the justification sheet will be based on 1 October of the PY-1 price level (DO NOT include an allowance for inflation through the construction period).

e. Annual funding requests for new reconnaissance phase studies are to be only for the amount required to carry out the anticipated activities during that FY.

f. Submissions for funding of continuing studies and projects not included in the PY-1 program request must be accompanied by a supplemental (page 2, see paragraph A-2.5.a.) justification describing the changed conditions that now warrant inclusion of the study/project in the PY request.

A-2.5. **Submission Requirements.**

a. **Justification Statements.** Supporting data for each study or project in the Division's programs, baseline and capability level, that has a funding requirement in the PY, both new and continuing, will consist of a Justification Sheet, two part where necessary. The mandatory first page is the Congressional Justification. See Illustrations A-2.1 through A-2.4 for format and content for new start reconnaissance phase, feasibility phase (cost shared), continuing surveys (full Federal expense), and PED. The second page, which is required when funds are being requested to continue a study or project which was not included in the PY-1 program or appropriations, is to be used to provide any additional information or expansion of data more appropriately classified as supporting data not appropriate for inclusion in the congressional justification, but may be necessary for proper and complete consideration for inclusion in the President's Program. ~~The justification sheets must be in Word97, on, 8 1/2 by 11 inch paper, in landscape orientation, right and left justified with 6 lines per in Arial 10 point font. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right~~

~~sides, and 1 inch margins on the top and bottom.~~ The appropriation title and division must be typed as the first line in the body of the first page of the survey and PED justification package. Do not underline any headings. The District must be identified under the survey or PED name. Justifications for new starts and continuing studies and projects are to be submitted electronically to HQUSACE, CECW-BC, E or W, WASH, D. C. 20314-1000.

b. **PED Completion.** Division Commander approvals of PED funding are to be submitted to HQUSACE, CECW-BC, E or W, WASH, D.C. 20314-1000, as appropriate. The views of the local sponsor on the schedule also are to be included.

c. **ADP.** The standard study/project data summary table is shown in Illustration A-2.5, Baseline Level. This Illustration combines reconnaissance, feasibility studies and PED projects on the same sheet. All studies and projects, including new starts, will be coded into the system. Instructions have been furnished by separate correspondence. A feasibility study will use the same PWI number as the reconnaissance study when there is only one feasibility study as a result of the reconnaissance. In the situation where more than one feasibility results from a reconnaissance, a new PWI number and study name will have to be obtained from HQUSACE, CECW-BA for each additional feasibility study. In addition, a PED project will use the same PWI number as the feasibility study when there is only one project coming out of the parent study. In the situation where PED effort on one of a number of interims is to be displayed, a new PWI number, to be obtained from HQUSACE, CECW-BA, will have to be assigned and the project name modified appropriately. Any study or PED programmed for initiation in PY+1 or later should have a status code of "Z".

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ILLUSTRATION A-2.1
NEW START RECONNAISSANCE PHASE STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: _____

| Study | Total Estimated Federal Cost \$ | Allocation Prior to FY (PY-1) \$ | Allocation FY (PY-1) \$ | Tentative Allocation FY (PY) \$ | Additional to Complete After FY (PY) \$ |
|------------------------------|--|---|-------------------------------|--|--|
| SURVEYS - NEW (Insert Type) | | | | | |
| Study Name | 100,000 | 0 | 0 | 100,000 | 0 |
| EFG District | | | | | |

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For environmental studies, include information in terms of criteria such as degraded habitat units, acres of wetlands, uniqueness of the resource. Also provide any pertinent information concerning coordination with Federal and state resource agencies under the Fish and Wildlife Coordination Act (FWCA). Identify relationship to other project purposes if appropriate. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress and identify the tentative local sponsor who has indicated intent to share equally in the feasibility phase cost that may follow the reconnaissance study. (A separate sponsor for an environmental study purpose may be appropriate.) Describe briefly the general scope and key areas of concern that are to be addressed in the reconnaissance study, probable solutions if this type of information is available, and the work to be performed in the program year. This paragraph should present specific arguments and evidence that it is important to initiate the study in the program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. The reconnaissance phase is scheduled to be completed in (Month 19XX), which is (12 or less) months after initiating the study.

Cite study authority. (In the event that sufficient study authority is not available to accomplish study purpose it should be so noted and a request for appropriate authority must be in progress.)

ILLUSTRATION A-2.2
COST-SHARED FEASIBILITY STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: _____

| Study | Total Estimated Federal Cost \$ | Allocation Prior to FY (PY-1) \$ | Allocation FY (PY-1) \$ | Tentative Allocation FY (PY) \$ | Additional to Complete After FY (PY) \$ |
|--|--|---|-------------------------------|--|--|
| ABCD River & Tributaries, Nothing Wash EFG District | 400,000 | 0 | 100,000 | 150,000 | 150,000 |

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress. Describe briefly the general scope and key areas of concern that were or are being addressed in the reconnaissance study, probable solutions, and the work to be performed in the Program year. This paragraph should present specific arguments and evidence that it is important to fund the study in the Program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. Provide best available sponsor information. (Name of potential or actual sponsor, dates of verbal or written commitments, scheduled or actual FCSA signing.)

Fiscal Year (PY-1) funds are being used to fully fund the reconnaissance phase at full Federal expense. If the reconnaissance report is certified to be in accord with policy, the funds requested for Fiscal Year (PY) will be used to continue into the feasibility phase of the study. The preliminary estimated cost of the feasibility phase is \$600,000, which is to be shared on a 50-50 percent basis by Federal and non-Federal interests. Up to one half of the non-Federal share may be in-kind services. A summary of study cost sharing is as follows:

| | |
|---------------------------------|-----------|
| Total Estimated Study Cost | \$700,000 |
| Reconnaissance Phase (Federal) | 100,000 |
| Feasibility Phase (Federal) | 300,000 |
| Feasibility Phase (Non-Federal) | 300,000 |

The reconnaissance phase is scheduled for completion in September (Month and Year)(Date of signing of FCSA). The feasibility study is scheduled for completion in September (Month and Year)(Date of Division Commander's public notice).

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ILLUSTRATION A-2.3
FULL FEDERAL EXPENSE FEASIBILITY STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: _____

| Study | Total Estimated Federal Cost \$ | Allocation Prior to FY (PY-1) \$ | Allocation FY (PY-1) \$ | Tentative Allocation FY (PY) \$ | Additional to Complete After FY (PY) \$ |
|---------------------------------|--|---|-------------------------------|--|--|
| XYZ River Basin EFG District | 750,000 | 200,000 | 225,000 | 150,000 | 175,000 |

This paragraph should describe the study area, the water resources problems and potential solutions. Results of the study to date should be covered as well as information that conveys to the reviewer (Corps, Army, OMB, Congress) that the study and its anticipated outputs are in accord with Administration priorities.

This paragraph is to be used to describe the activities to be undertaken during the PY-1. The activities pertaining to each interim are to be clearly described.

This third paragraph is to be used to describe the activities to be undertaken in the PY.

This final paragraph will set forth the schedule for the study including completion dates (month and year) (date of Division Commander's public notice) for each interim and the overall study.

ILLUSTRATION A-2.4
PRECONSTRUCTION ENGINEERING AND DESIGN

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: _____

| Study | Total Estimated Federal Cost \$ | Allocation Prior to FY (PY-1) \$ | Allocation FY (PY-1) \$ | Tentative Allocation FY (PY) \$ | Additional to Complete After FY (PY) \$ |
|--|--|---|-------------------------------|--|--|
| PRECONSTRUCTION ENGINEERING AND DESIGN ACTIVITIES (PED) - (Type) | | | | | |
| XYZ Project | 1,100,000 | 500,000 | 450,000 | 150,000 | 0 |
| EFG District | | | | | |

XWV River drains an area of about 2,114 square miles in southwest State and empties into Something Harbor. The XYZ flood plain encompasses about 1,560 acres of mostly urban development on the left bank of the XWV River. The maximum flood of record, that of December 1933, would have caused an estimated \$13.4 million damages to XYZ River under October (PY-1) prices and conditions of development. A feasibility report was completed in FY 1996. The recommended project, estimated to cost \$xx.x million with an estimated Federal cost of \$xx.xx million and an estimated non-Federal cost of \$xx.xx million, includes construction of a levee system to provide flood protection to 1,318 acres in XYZ. Pumping stations and gravity outlets with tide gates would be included to accommodate interior drainage. The average annual benefits amount to \$2.7 million, all for flood control. The benefit-cost ratio is 1.2 to 1 based upon the latest economic analysis dated (Month Year). Identify project sponsor and set forth latest evidence of support. (Sponsor's must assure that they understand and are ready to sign a PED cost sharing agreement and have funds available to finance the PED portion of the design of a project.) PED will ultimately be cost shared at the rate for the project to be constructed but will be financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction.

| | | | |
|---|-------------|---|-------------|
| Total Estimated Preconstruction Engineering and Design Costs | \$1,333,000 | Total Estimated Preconstruction Engineering and Design Costs | \$1,333,000 |
| Initial Federal Share | 1,000,000 | Ultimate Federal Share | xxx,000 |
| Initial Non-Federal Share | 333,000 | Ultimate Non-Federal Share | xxx,000 |

The project is authorized for construction by (Cite the construction authorization and cost sharing requirements). Fiscal Year (PY-1) funds are being utilized to continue work on the Feature Design Memorandum, including economic studies. Fiscal Year (PY) funds will be used for completion of PED in (Month and Year).

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31 Mar 00

MM/DD/YY HH:MM VERSION: XYZ

ILLUSTRATION A-2.5
STUDY DATA SUMMARY TABLE (\$ IN THOUSANDS)

LAST REVISION: MM/DD/YY PY___PAGE ####

DIVISION/DISTRICT: ** (DIS)
PY:___ LVL: B

SELECT: _____ CWISPWJ: _____
SINCE: _____ SORT: _____

| SURVEY | | | P E D | | |
|--|--|--|---|--|--|
| NAME: XYZ RIVER, ST APPN: ___ CCS: ___ CWIS: _____ SS1:^^ SS2:^^ LPRJ: _____ | | | NAME: XYZ RIVER, ST APPN: ___ CCS: ___ <u>CWISPWJ</u> : _____ SS1:^^ SS2:^^ LPRJ: _____ | | |
| STATUS: ___ <u>PY PRIORITY</u> % NONSTRUCTURAL FDR: ___ MAJOR BENEFITS: ___ STATE: ___ <u>40YR PRIORITY</u> : ___ | | | STATUS: ___ <u>PY PRIORITY</u> % NONSTRUCTURAL FDR: ___ MAJOR BENEFITS: ___ STATE: ___ <u>40YR PRIORITY</u> : ___ PROGRAM CODE: ___ TOTAL BENEFITS/COSTB/C RATIO: ___ | | |
| DATES | | | DATES | | |
| FY FUNDS FIRST ALLOCATED: _____ SCHEDULED COMPLETION DATES: LAST DD-MMM-YYYY CURRENT DD-MMM-YYYY <u>CAPABILITY</u> DD-MMM-YYYY | | | FY FUNDS FIRST ALLOCATED: _____ SCHEDULED COMPLETION DATES LAST DD-MMM-YYYY CURRENT DD-MMM-YYYY <u>CAPABILITY</u> DD-MMM-YYYY FY AVAILABLE FOR CONSTRUCTION: _____ | | |
| COST ESTIMATES | | | COST ESTIMATES | | |
| FEDERAL: _____ NON-FEDERAL: _____ TOTAL: _____ GRAND TOTAL (RECONNAISSANCE + FEASIBILITY): _____ | | | FEDERAL: _____ NON-FEDERAL: _____ TOTAL: _____ | | |
| CURRENT YEAR - (PY-1) FUNDING | | | CURRENT YEAR - (PY-1) FUNDING | | |
| PROGRAM AMOUNT: _____ CONFERENCE AMOUNT: _____ ASSUMED SAVINGS AND SLIPPAGE: _____ OTHER ADJUSTMENTS _____ GRH AMOUNT _____ | | | PROGRAM AMOUNT: _____ CONFERENCE AMOUNT: _____ ASSUMED SAVINGS AND SLIPPAGE: _____ OTHER ADJUSTMENTS _____ GRH AMOUNT _____ | | |

ILLUSTRATION A-2.5 (Continued)
STUDY DATA SUMMARY TABLE (\$ IN THOUSANDS)

| ===== | | | | | | | | | | | | | | |
|------------------|------------------|--------------|-----------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|---------|--|
| PROGRAM | | | | | | | | | | | | | BALANCE | |
| FUNDING----- | ALLOCATIONS----- | REQUEST----- | PROGRAMMED----- | | | | | | | | | | AFTER | |
| LEVEL | THRU PY-2 | PY-1 | PY | PY+1 | PY+2 | PY+3 | PY+4 | PY+5 | PY+6 | PY+7 | PY+8 | PY+9 | PY+9 | |
| ===== | | | | | | | | | | | | | | |
| *** SURVEY *** | | | | | | | | | | | | | | |
| FEDERAL (CORPS): | | | | | | | | | | | | | | |
| BASELINE | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| CAPABILITY | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| NON-FEDERAL: | | | | | | | | | | | | | | |
| CASH | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| OTHER | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| *** PED *** | | | | | | | | | | | | | | |
| FEDERAL(CORPS): | | | | | | | | | | | | | | |
| BASELINE | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| CAPABILITY | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| CASH | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | |
| ===== | | | | | | | | | | | | | | |

- SURVEY FUNDING IS NOT IN BALANCE: BASELINE NONFEDERAL DECREMENT CAPABILITY
- SURVEY FUNDING IS NOT IN BALANCE: CONF MINUS S&S MINUS OTHADJ DOES NOT EQUAL WK-ALLOW
- PED FUNDING IS NOT IN BALANCE: BASELINE NONFEDERAL DECREMENT CAPABILITY
- PED FUNDING IS NOT IN BALANCE: CONF MINUS S&S MINUS OTHADJ DOES NOT EQUAL WK-ALLOW

Optional remark lines follow here.

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ILLUSTRATION A-2.6
EXPENDITURE PROGRAM CEILINGS
(\$000)

| MSC | FY 02 | FY 03 | FY 04 | FY 05 | FY 06 | FY 07 | FY 08 | FY 09 | FY 10 | FY 11 |
|-----|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| MVD | 18,100 | 18,700 | 19,300 | 19,900 | 20,500 | 21,200 | 21,900 | 22,600 | 23,300 | 24,100 |
| NAD | 18,200 | 18,800 | 19,400 | 20,000 | 20,700 | 21,400 | 22,100 | 22,800 | 23,500 | 24,300 |
| NWD | 8,700 | 9,000 | 9,300 | 9,600 | 9,900 | 10,200 | 10,500 | 10,800 | 11,100 | 11,400 |
| LRD | 15,400 | 15,900 | 16,400 | 16,900 | 17,400 | 18,000 | 18,600 | 19,200 | 19,800 | 20,400 |
| POD | 3,800 | 3,900 | 4,000 | 4,100 | 4,200 | 4,300 | 4,400 | 4,500 | 4,600 | 4,700 |
| SAD | 8,100 | 8,300 | 8,500 | 8,700 | 9,000 | 9,300 | 9,600 | 9,900 | 10,200 | 10,500 |
| SPD | 23,100 | 23,900 | 24,700 | 25,500 | 26,300 | 27,200 | 28,100 | 29,000 | 30,000 | 31,000 |
| SWD | 10,400 | 10,700 | 11,000 | 11,300 | 11,600 | 12,000 | 12,400 | 12,800 | 13,200 | 13,600 |

SUBAPPENDIX A-3 CECW PROGRAMMED ITEMS

A-3.1. **Required Field Input.** This subappendix provides necessary guidance on CECW programmed General Investigations items. The following table identifies the items which require District and Division response, hard copy only.

| Activity | Cat/Class/ Subclass |
|---|------------------------|
| a. Special Investigations | (Code 901-171) |
| b. Gulf of Mexico Program | (Code 901-171) |
| c. Pacific Northwest Forest Case Study | (Code 901-171) |
| d. Chesapeake Bay Program | (Code 901-171) |
| e. FERC Licensing Activities | (Code 901-172) |
| f. Interagency Water Resources Development | (Code 901-173) |
| g. National Estuary Program | (Code 901-175) |
| h. North American Waterfowl Management | (Code 901-176) |
| i. Interagency and International Support | (Code 901-1738) |
| j. Coordination with Other Water Resources Agencies | (Code 901-181) |
| k. CalFed | (Code 901-181) |
| l. Lake Tahoe Federal Interagency Partnership | (Code 901-181) |
| m. Planning Assistance to States | (Code 901-186) |
| n. International Waters Studies | (Code 901-240) |
| o. Flood Plain Management Services | (Code 901-250) |
| p. Hydrologic Studies | (Code 901-260) |

A-3.2. **Program Procedure.**

a. The activities covered by this subappendix are programmed by CECW. You should assume your allowances will remain at or about the same level as PY-2 through PY+9 in preparing programming documents for the fifteen activities requiring Division response.

b. If a division is experiencing conditions that would materially affect its requirements for the activities covered, the Division Commander should submit a brief letter to HQUSACE, CECW-BW outlining the changed conditions.

c. Note that there are three accounts that are similar, in that they provide the ability to respond to other entities without being either agency or project/study specific, but that serve different functions. They are Special Investigations, Interagency Water Resources Development, and Coordination with Other Water Resources Agencies. Special Investigations is for limited scope investigations, not for coordination. Interagency Water Resources Development is for coordination with others on problems that may lead to specific studies such as cost sharing or applicability of Corps programs to water resources problems. The Coordination with Other Water Resources Agencies account is for coordination with Planning Commissions, other Federal Water Resources Agencies or other entities which serve that function, on regional problems of a general nature not related to a programmed study or specific potential study. Some requests for assistance will not fit clearly into one of these three accounts, but you should be sure that, to the extent possible, such

activities are programmed in the appropriate account and that activities in the three accounts are not duplicative.

A-3.3. **Submission Requirements.** Provide a breakdown by District for each activity listed in paragraph A-3.1, for PY-1 and PY in the format of Illustration A-3.1. The information should provide a base to develop allowances for varying program levels.

A-3.4. **Special Investigations.**

a. **Program Objective.** This category is for investigations of limited scope, in replying to requests from sources outside the Corps of Engineers, for information relating to unauthorized projects and other activities which have no funds, and which are not accomplished with a view toward determining whether a project can be developed. Also included is work specifically authorized by the Chief of Engineers; the review of reports and Environmental Impact Statements requested by other agencies, unless otherwise provided for; and attendance at meetings of local interests and other agencies during the preliminary stages of project investigations.

(1) The program objective specifically includes The Gulf of Mexico Program, which is an interagency effort for resolving complex environmental problems associated with man's use of the Gulf of Mexico. This program is limited to divisions and subordinate districts bordering on the Gulf of Mexico.

(2) The program objective specifically includes the Pacific Northwest Forest Case Study, which is an interagency program initiated by the White House's Council on Environmental Quality for ecosystem management of the public lands within the range of the Northern Spotted Owl.

(3) The program objective specifically includes the Chesapeake Bay program, which is an interagency program initiated by the U.S. Environmental Protection Agency, for the protection and restoration of the bay's natural resources. Work which requires Section 510 of the Water Resources Development Act of 1996 authorization is subject to the cost sharing of that authorization.

b. **Narrative Paragraph Submission.** A narrative paragraph should be submitted which describes specific investigations, studies, or tasks accomplished under this activity for the PY-3 and PY-2 to date in the format of Illustration A-3.2.

A-3.5. **FERC Licensing Activities.**

a. **Program Objective.** The objective of the Federal Energy Regulatory Commission licensing activities is to provide timely review of FERC license and permit applications consistent with regional and national priorities. Review is accomplished on a first come-first served basis.

b. **Eligibility.** License or permit applications are eligible for consideration if they are for new or existing non-Corps operated facilities. Review of license and permit applications which could have an effect on ongoing projects under construction or being operated by the Corps should be accomplished with available project funds.

A-3.6. **Interagency Water Resources Development.** The interagency water resources development program is for Corps of Engineers districts activities, not otherwise funded, that require

coordination effort with non-Federal interests. These activities include such things as meeting with City, County and state officials to help them solve water resources problems when they have sought advice or to determine whether or not Corps programs are available and should be used to address the problems. The funds would also be used to cover costs of meeting with potential study sponsors prior to programming for study to insure they fully understand study cost sharing and to obtain an indication of their interest in participating in a future study.

A-3.7. National Estuary Program (NEP). The NEP is an interagency planning program to develop management plans for nationally significant estuaries designated by EPA. To date, the following 23 estuaries have been designated under the program: Columbia River, WA & OR; Mobile Bay, AL; Morro Bay, CA; Charlotte Harbor, FL; Maryland Coastal Bays, MD; New Hampshire Estuaries, NH; Barnegat Bay, NJ; Puget Sound, WA; Delaware Bay, DE; Delaware Inland Bays, DE; New York/New Jersey Harbor, NY-NJ; Sarasota Bay, FL; Santa Monica Bay, CA; San Francisco Bay, CA; Galveston Bay, TX; Albemarle/Pamlico Sound, NC; Buzzards Bay, MA; Narragansett Bay, RI; Long Island Sound, CT-NY; Peconic Bay, NY; Massachusetts Bay, MA; Barataria/Terrebonne Bay, LA; and Indian River Lagoon, FL. Because of extensive Corps involvement with Federal water resources projects in the nation's estuaries and other responsibilities in waters of the U.S., the Corps has been asked to participate on the management and technical advisory committees of those NEP estuaries being studied. The requested funds will be used to cover costs of Corps field office meeting attendance, field reconnaissance, and data transfer.

A-3.8. North American Waterfowl Management Program (NAWMP). The NAWMP is an international program designed to reverse downward trends in North America's waterfowl populations by protecting and improving waterfowl habitats nationwide, particularly in 34 areas within the United States identified as being critical to meeting NAWMP goals and objectives. Department of the Army support to the NAWMP is set forth in an agreement signed with the Department of the Interior on January 23, 1989. The Corps of Engineers has broad water resources development responsibilities and authorities, and has stewardship responsibilities for over seven million acres of water and land. Many Corps of Engineers projects contribute directly or indirectly to the habitat base for the nation's waterfowl and other wetland species. The requested funds will be used to cover costs of Corps of Engineers field office participation in field trips, interagency coordination meetings, and information transfer in response to conditions set forth in the agreement between the Department of the Interior and the Department of the Army.

A-3.9. Interagency and International Support.

a. **Program Objective.** Authorized by Section 234 of the Water Resources Development Act of 1996, this program is for activities in support of other Federal agencies or international organizations to address problems of national significance to the United States.

b. **Submission Requirements.** An illustration A-3.6 titled Interagency and International Support is required. Illustration A-3.6 is an information display with supporting narrative in the format of Illustration A-3.4. The narrative should identify the work that would be pursued with the requested fund.

A-3.10. Coordination with Other Water Resources Agencies (including Department of Agriculture, ~~Soil~~Natural Resources Conservation Service; Department of Interior, Bureau of Reclamation; and Regional Planning Commissions and Committees Programs).

a. **Program Objective.** The objective of this program is to provide coordination with these agencies on water resources issues and problem areas of mutual concern that are general in nature and not part of a programmed project or study.

b. **CalFed.** The program objective specifically includes the CALFED Bay-Delta Program solution process for the development of a long -term comprehensive plan that will restore ecological health and improve water management for beneficial uses of the Bay-Delta system.

c. **Lake Tahoe Federal Interagency Partnership.** The program objective includes Corps participation in the partnership with other Federal Agencies, in accordance with Executive Order 13057 "Federal Actions in the Lake Tahoe Region", to insure cooperation, support and synergy.

A-3.11. **Planning Assistance to States.**

a. **Program Objective.** The Planning Assistance to States program is carried out in accordance with the provisions of Sec. 22, PL 93-251. This public law authorizes the Chief of Engineers to cooperate with States (Commonwealths, Territories, etc.) and Indian tribes in the preparation of plans for the development, utilization, and conservation of water and related land resources of drainage basins located within the boundaries of the state. Assistance is provided on the basis of State or tribe requests. When a state or tribe is served by more than one division, the Lead Division assigned in Table 2-5, ER 1105-2-100, has the responsibility for providing data on work requested by that state or tribe. The Lead Division may further delegate that responsibility to a Coordinating District, but that Coordinating District is responsible for coordinating not only with the State or tribe, but also with the other Districts doing work for that State or tribe.

b. **Submission Requirements.** Planning assistance is coordinated and scheduled to ensure the continuation and completion of ongoing work and the timely initiation of new work requested by the States and tribes. Lead Division offices should provide a prioritized listing of all work for states and tribes under their responsibility in the format of Illustration A-3.3.

A-3.12. **International Waters Studies.**

a. **Program Objective.** This program contributes to better control, utilization, and orderly development of jointly - controlled water resources along the U.S. - Canadian boundary. It encompasses four boards and one committee established by the International Joint Commission (IJC) and in response to other U.S./Canadian cooperative efforts. IJC boards fall into two broad categories: boards of control, which are essentially permanent; and engineering or advisory boards, which are usually dissolved after completing their investigation.

b. **Eligibility.** Activities within the scope of authority of an appropriate Board or committee are eligible for funding.

c. **Submission Requirements.** An information display and supporting narrative as shown in Illustration A-3.4 is required.

A-3.13. Flood Plain Management Services (FPMS).

a. **Program Objective.** The Corps is authorized by Section 206 of the 1960 Flood Control Act, as amended, to provide information, technical assistance, and guidance, in identifying the magnitude of the flood hazard and for planning wise use of the flood plain. Direct response and assistance are provided through the FPMS program to states, Indian tribes and local governments without charge and to Federal agencies and private persons on a cost reimbursable basis.

b. **Submission Requirements.** An information table as shown in Illustration A-3.5 is required. FPMS funding requirements are to be shown for (1) the Division FPMS Unit, (2) District FPMS Units, (3) Quick Responses taking 10 minutes or less and provided without charge, (4) Technical Services, and (5) Special studies. An estimated cumulative number of responses to requests will be shown for Quick Responses and Technical Services. Submit two versions of Illustration A-3.5; one for the PY-2 amount and another based on capability to meet demand from state, tribal and local governments. The funding requirements for Quick Responses should not exceed two percent of the PY-2 work allowance amount. Hurricane Evacuation Study (HES) funding will be retained by HQUSACE for allotment at a later date. Full reimbursement should be required for assistance to Federal agencies and private persons. Information provided for Illustration A-3.5 should exclude all requirements for HES and for assistance to Federal agencies and private persons.

A-3.14. Hydrologic Studies.

a. **Program Objectives.** To collect and analyze basic data on hydrologic, climatologic, and river morphology for general use in connection with the Corps planning design, construction, and operation of water resource projects.

b. **Submission Requirements.** Provide a breakdown by District in the format of illustration A-3.1. Note that all activities in this class (260) should be defined and reported as follows:

(1) **261, Storm Studies.** Includes Part I and II storm studies accomplished in coordination with National Weather Service.

(2) **262, General Hydrologic Studies.** Includes generalized hydrologic analyses of rainfall - runoff relationship, flood frequency, snowmelt studies, hydrograph development and routing at selected watersheds, model calibrations in urban areas, and analyses of past floods and other studies of hydrologic nature.

(3) **263, Sedimentation Studies.** Includes all non-project sedimentation investigation activities at the Waterways Experiment Station.

(4) **264, Streamflow and Rainfall Data Collection.** This is a continuing program where funds are used provides for installation and operation of streamflow and rainfall gages for general studies. It also includes provides for flood investigation activities such as investigation of hurricane surges, high water mark setting, measurement, and recordings, and rainfall bucket surveys.

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ILLUSTRATION A-3.1
DISTRICT BREAKDOWN
(Code 901-171,172,173,175,176,177,178,181,186,240,250,260)
(\$K)

Division: _____

Tentative Allowance

Total
DIST.-A
DIST.-B
DIST.-C
etc

PY-1
PY

SPECIAL INVESTIGATIONS
(AND)
GULF OF MEXICO PROGRAM
(AND)
PACIFIC NORTHWEST FOREST CASE STUDY
(AND)
CHESAPEAKE BAY PROGRAM
(AND)
FERC LICENSING
(AND)
INTERAGENCY WATER RESOURCES DEVELOPMENT
(AND)
NATIONAL ESTUARY
(AND)
NORTH AMERICAN WATERFOWL MANAGEMENT

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION A-3.1 (Continued)
DISTRICT BREAKDOWN
(Code 901-171,172,173,175,176,177,181,186,240,250,260)
(\$K)

Division: _____

Tentative Allowance

Total
DIST.-A
DIST.-B
DIST.-C
etc

PY-1
PY

(AND)
INTERAGENCY AND INTERNATIONAL SUPPORT
(AND)
COORDINATION WITH OTHER WATER RESOURCES AGENCIES
(AND)
CALFED
(AND)
LAKE TAHOE FEDERAL INTERAGENCY PARTNERSHIP
(AND)
PLANNING ASSISTANCE TO STATES
(AND)
INTERNATIONAL WATER STUDIES
(AND)
FLOOD PLAIN MANAGEMENT SERVICES
(AND)
HYDROLOGIC STUDIES
SUBCLASS
PY-1
PY

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

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ILLUSTRATION A-3.2
WORK ACCOMPLISHED
(Code 901-171)

Division: _____

SPECIAL INVESTIGATIONS

| DISTRICT | NARRATIVE DESCRIPTION |
|----------|-----------------------|
| A | PY-3: |
| A | PY-2: |
| B | PY-3: |
| B | PY-2: |
| etc. | |

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION A-3.3
PLANNING ASSISTANCE TO STATES
(Code 901-186)
Priority Listing
Fiscal Year _____

Lead Division: _____

| Work Item Name | State | State Priority | Performing Office | Amount (\$000) |
|----------------------|-------|-------------------|----------------------|-------------------|
| <u>1/</u> | | | <u>2/</u> | |

1/ List work items in order of decreasing priority as established by the Lead Division.

2/ Priority as indicated by the State.

FOR ILLUSTRATION PURPOSE ONLY
(To be typed as necessary)

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ILLUSTRATION A-3.4
INTERNATIONAL WATERS STUDIES
(Code 901-240)

Division: _____

Justification: Furnish a brief description of the Division/Districts activities and potential accomplishments relating to the functions of each board or committee. Include the associated Program request for each board.

FOR ILLUSTRATION PURPOSE ONLY
(To be typed as necessary)

ILLUSTRATION A-3.5
FLOOD PLAIN MANAGEMENT SERVICES
(Code 901-250)

Division: _____

| Work Item | Amount (\$000) | Total # Responses/Studies |
|---------------------|-------------------|------------------------------|
| Division FPMS Unit | N/A | |
| District FPMS Units | N/A | |
| Quick Responses | (5% Max.) | (# of Responses) |
| Technical Services | | (# of Responses) |
| Special Studies | | (# of Studies) |

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

APPENDIX B
CONSTRUCTION, GENERAL AND
FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES
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| Submission Requirements | B-3.2 | B-3-1 |
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SUBAPPENDIX B-1
CONSTRUCTION, GENERAL AND
FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES
APPLICABILITY
(RCS CECW-B 13)

B-1.1. Appropriation Title. This appendix provides guidance for preparation of the program request for all new and continuing activities under the appropriation titles Construction, General (CG), including the Inland Waterways Trust Fund (IWTF) and Harbor Services Fund (HSF), as applicable, and Flood Control, Mississippi River and Tributaries for a ten year period, PY through PY+9.

B-1.2. Activities Included.

| Activity | Category, Class, Subclass, Code | Guidance Provided in Subappendix Number |
|--|--|---|
| Construction, General Appropriation | | |
| Navigation | | |
| Channels and Harbors | | |
| Projects Specifically Authorized by Congress | 211 | B-2 |
| Dredged Material Disposal Facilities Program | 212 | B-2 |
| Projects Not Specifically Authorized by Congress (Section 107, 1960 Act and Modifications) | 216 | B-3 |
| Debris Removal | 217 | Program not active |
| Locks and Dams | 220 | B-2 |
| Mitigation of Shore Damages Attributable to Navigation Projects (Section 111, 1968 Act) | | |
| Projects Specifically Authorized by Congress | 231 | B-2 |
| Projects Not Specifically Authorized by Congress | 232 | B-3 |
| Dam Safety Assurance | 240 | B-2 |

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| Activity | Category, Class, Subclass, Code | Guidance Provided in Subappendix Number |
|--|--|---|
| Shore Protection | | |
| Projects Specifically Authorized by Congress | | |
| Sacrificial Features Only | 411 | B-2 |
| Structural and Sacrificial Features | 412 | B-2 |
| Projects Not Specifically Authorized by Congress (Section 103, 1962 Act and Modifications) | 420 | B-3 |
| Flood Control | | |
| Local Protection | | |
| Projects Specifically Authorized by Congress | 511 | B-2 |
| Projects Not Specifically Authorized by Congress (Section 205, 1948 Act and Modifications) | 516 | B-3 |
| Emergency Streambank and Shoreline Protection (Section 14, 1946 Act and Modifications) | 517 | B-3 |
| Snagging and Clearing (Section 208 1954 Act and Modifications) | 518 | B-3 |
| Reservoirs | 520 | B-2 |
| Urban Stormwater Management | | |
| Projects Specifically Authorized by Congress | 531 | B-2 |
| Projects Not Specifically Authorized by Congress (Section 205, 1948 Act and Modifications) | 532 | B-3 |
| Dam Safety Assurance | 540 | B-2 |

| Activity | Category, Class, Subclass, Code | Guidance Provided in Subappendix Number |
|---|--|--|
| Riverine Ecosystem Restoration and Flood Hazard Mitigation | 552 | No field request |
| Multiple Purpose Power | 600 | B-2 |
| Dam Safety Assurance | 640 | B-2 |
| Miscellaneous | | |
| Recreation Facilities at Completed Projects | | |
| Sanitation Facilities, Non-Cost Sharing | 711 | Transferred to the Operation and Maintenance program |
| Five-Year Program Funds, Cost Sharing | 713 | Transferred to the Operation and Maintenance program |
| Recreation Modernization Program | 715 | B-4 |
| Project Modifications for Improvement of the Environment (Section 1135, 1986 Act) | | |
| Specifically Funded | 721 | B-2 |
| Not Specifically Funded | 722 | B-3 |
| <u>Dam Safety Assurance and Seepage/Stability Correction</u> Projects Not Previously Programmed for Construction | 730 | No field request |
| Aquatic Ecosystem Restoration | 732 | B-3 |
| Aquatic Plant Control | 740 | No field request |
| Employee Compensation Fund (Payments to Department of Labor) | 750 | No field request |
| Wetlands Restoration and Enhancement Demonstration Program (Section 307 (d), 1990 Act) | | |
| Specifically Funded | 761 | Program not active |
| Not Specifically Funded | 762 | No field request |

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| Activity | Category, Class Subclass, Code | Guidance Provided in Subappendix Number |
|---|---|---|
| Environmental Improvement Projects | 770 | B-2 |
| Environmental Mitigation, Restoration, and Protection | 771 | B-2 |
| Environmental Infrastructure | 772 | B-2 |
| Shoreline Erosion Control Demonstration (Section 54, 1974 Act) | 780 | Authorization expired |
| Beneficial Uses of Dredged Material (Section 204, 1992 Act) | | |
| Specifically Funded | 791 | B-2 |
| Not Specifically Funded | 792 | B-3 |
| Rehabilitation | | |
| Major Rehabilitation | | |
| Navigation | | |
| Channels and Harbors | 813 | B-2 |
| Locks and Dams | 814 | B-2 |
| Flood Control | | |
| Local Protection Projects Specifically Authorized by Congress | 816 | B-2 |

| Activity | Category, Class, Subclass, Code | Guidance Provided in Subappendix Number |
|---|--|---|
| Reservoirs | 817 | B-2 |
| Multiple Purpose Power Projects | 818 | B-2 |
| Minor Rehabilitation | 820 | Program not active |
| New Construction Starts | As applicable | B-2 |
| New Major Rehabilitation | As Applicable | B-2 |
| Flood Control, Mississippi River and Tributaries, Appropriation | | |
| Navigation | 310 | B-2 |
| Dam Safety Assurance | 314 | B-2 |
| Flood Control | 320 | B-2 |
| Dam Safety Assurance | 324 | B-2 |
| Streambank Erosion Control Evaluation and Demonstration (Section 32, 1974 Act) | 330 | Authorization expired |
| Major Rehabilitation | | |
| Navigation | 812 | B-2 |
| Flood Control | 815 | B-2 |
| New Construction Starts | As applicable | B-2 |
| New Major Rehabilitation | As Applicable | B-2 |

SUBAPPENDIX B-2
CONSTRUCTION - NEW AND CONTINUING

B-2.1. Objective. This subappendix applies to new and continuing construction projects, new and continuing major rehabilitation projects, new and continuing dam safety assurance projects, new and continuing deficiency correction projects, new and continuing reconstruction projects, new and continuing dredged material disposal facility projects, new and continuing reimbursement projects, resumptions, unstarted projects previously funded for construction, and unstarted separable elements of ongoing construction projects funded under the Construction, General (CG) appropriation, including the Inland Waterways Trust Fund (IWTF) and Harbor Services Fund (HSF), as applicable, and the Flood Control, Mississippi River and Tributaries (MR&T) appropriations. The overall goal for the construction program is to develop a 10 year (PY through PY+9) construction program and complete committed projects as economically and quickly as practicable within program constraints and consistent with current national priorities. The major objective is to maintain, insofar as possible, a Baseline Level project construction schedule. We will adhere to Army policy and the guidance provided in the main part of the EC. Nevertheless, program requests should be submitted for all available new start projects and separable elements which meet the preliminary selection criteria in Table B-2.1 and all continuing projects and programs including environmental infrastructure programs. This will provide information for use in making program decisions on projects and programs for which funds may be added by Congress in PY-1. We will undertake all projects and programs included in the President's PY-1 program and continue to nourish shore protection projects for which project cooperation agreements were executed prior to FY96 until the expiration date of the renourishment period specified in the project cooperation agreements. ~~We will also program funds for all continuing shore protection projects, including those added by Congress, on an equal footing with other project purposes. This is consistent with the Administration's position that, if acceptable legislation is enacted to increase non-Federal cost sharing and decrease Federal involvement in long term beach renourishment, then shore protection projects would be eligible for budgeting on a basis comparable with other projects.~~

B-2.2. Assumed PY-1 Work Allowances and Assumed PY-1 and PY Assigned Savings and Slippage.

a. Assumed PY-1 work allowances must be based on a proportional assignment of savings and slippage applied against the amount included for each project in the conference report which accompanies the PY-1 appropriations act, or the PY-1 program in the absence of Congressional action on the PY-1 appropriations, except for projects directed to be undertaken with amounts specified in the PY-1 appropriations act which are not subject to savings and slippage. Projects may show a reprogramming of funds to offset the assigned savings and slippage amount, if necessary. However, such reprogrammings must be within HQUSACE CECW-B authority and must be offsetting within each Division. Assumed PY-1 savings and slippage reductions are shown on Table B-2.3. Final savings and slippage reductions will be based on Congressional action on the PY-1 appropriations. Federal and non-Federal funding information (including allocations, contributions, obligations, undelivered orders, and unobligated carryovers) shown on required supporting data for each project for which funds are requested in the PY must be reconciled with the latest available financing and accounting records. After PY-1 work allowances have been allotted, allocations for the PY-1 must also be reconciled with the latest available finance and accounting records for affected projects.

B-2.3. New Start Construction Projects.

a. The first objective of the new start program is to bring together for consideration as new start construction recommendations a list of high quality projects and separable elements, justified based on NED benefits or responsive to mitigation, restoration, or protection of environmental resources, which are ready to be started in the PY, have approved M-CACES baseline cost estimates, and are strongly supported by non-Federal sponsors. Projects and separable elements which meet the basic and preliminary selection criteria listed in Table B-2.1 may be recommended as new construction starts. Note that a current economic analysis for each new start

construction project or element must be approved not earlier than 3 fiscal years prior to the fiscal year of the submission of the program request to HQUSACE CECW-B. This will ensure the analysis can be considered current when the actual program decisions are made and help preclude the need for an additional update prior to an implementation decision (i. e., executing a PCA). For example, a PY new start program request made in PY-2 must have an economic analysis contained in an official report approved in or later than PY-5. This analysis will be included in an approved decision document such as a Chief of Engineers Report, Engineering Documentation Report (EDR), General or Limited Reevaluation Report (GRR or LRR), Post Authorization Change Report (PAC), or other special study report which must be approved by the MSC or HQUSACE CECW-EP or CECW-P, as applicable. A Design Documentation Report (DDR) is a technical document approved by a District and should not include information such as formulation of alternatives or economic analyses. A decision document that includes technical design information together with formulation of alternatives or economic analyses should be properly labeled as an LRR, GRR, EDR, or PAC, as applicable. After a decision has been made by the Director of Civil Works and ASA(CW) to include a project, separable element, resumption, or unstarted project in the PY program and construction funds have been appropriated for such work, no further update of the economic analysis will be required during the approval process for the non-Federal sponsor's financing plan and execution of the PCA provided the PCA is approved in the PY and no significant changes which may effect economic justification have been made from the latest approved document. The same current economic analysis requirements for PCA projects apply to non-PCA projects, such as inland navigation and major rehabilitation projects, for obtaining approval to initiate construction. Program requests should be submitted for all available new start projects and separable elements which meet the preliminary selection criteria in Table B-2.1. This will provide information for use in making program decisions on projects for which funds may be added by Congress in PY-1.

b. Potential new starts candidates should be reviewed relative to the prioritization criteria shown in Table B-2.1. There are 6 priority levels; each level differentiates the relative compliance (as shown by an X) with each of the screening criteria: economic considerations, environmental considerations, and mitigation, restoration, or protection of environmental resources. Recommended new starts must be in priority category 1 through 3.

c. The second objective of the new start program is to develop a 10 year construction program which will provide for an orderly flow of urgently needed and locally supported projects that are in accord with current policies and priorities. In accordance with this objective, Divisions will prepare an Illustration B-2.1, Project Data Summary, for each project or separable element which they expect to recommend as a continuing project if initial CG funding is derived from the CG Dam Safety and Seepage/Stability Correction Program or a new construction start during the period PY through PY+9. This includes new major rehabilitation projects (including seepage or stability correction projects), new dam safety assurance projects, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects, new reimbursement projects, resumptions, unstarted projects, and unstarted separable elements of ongoing projects. Divisions will also prepare an Illustration B-2.1, Project Data Summary, for each unprogrammed separable element which has not been reclassified to the inactive category. The fiscal year of new start construction for such separable elements will be 2099. Non-Federal cash contributions and non-Federal other costs must not be programmed for any new start project or separable element in advance of programmed Federal funds even though the non-Federal sponsor may incur costs prior to the allocation of Federal funds. Such non-Federal costs will be reflected in the Illustration B-2.1 and Detailed Project Schedule, PB-2a, only after Federal funds are allocated. Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. The projects programmed for construction in PY through PY+9 must be based on the estimates and schedules established for programmed studies and PED projects, as applicable. Furthermore, Divisions must assure that the data shown in Illustration B-2.1 are compatible with data in Illustration A-2.5, General Investigations Data Summary Table, so that construction is programmed no earlier than the year following PED completion and project cost estimates in both illustrations are identical. We intend to adhere to programmed PED completion schedules to the maximum extent possible and select future new starts from projects shown as available for construction in the PY+1 based on data which supports the President's program for the preceding year.

d. Each recommended new start construction project or separable element requires submission of a decision document to serve as the basis for new start selection and executing the PCA required by the Water Resources Development Act of 1986. This requirement can be satisfied by an approved EDR, as applicable, or a MSC or HQUSACE CECW-P approved GRR, as applicable, or HQUSACE CECW-P approved feasibility report with engineering appendix. In negotiating the terms of the PCA, no commitments relating to a construction schedule or follow-on funding can be made to the non-Federal sponsor until after the economic analysis, if applicable, and the EDR or feasibility report with engineering appendix has been approved by the MSC or HQUSACE CECW-EP or CECW-P, as applicable, the planning and policy review process has been completed by ASA(CW), the project or element has been included in the PY program, and the draft PCA has been approved by ASA(CW). The PCA will be executed between the non-Federal sponsor and ASA(CW) after funds are appropriated for construction and prior to advertisement of the initial construction contract for the project or element.

B-2.4. Major Rehabilitation, Dam Safety Assurance, Deficiency Correction, Reconstruction, and Dredged Material Disposal Facility Projects.

a. Recommended new starts for major rehabilitation, dam safety assurance, deficiency correction, reconstruction, and dredged material disposal facility projects will undergo a critical review and selection process in accordance with the criteria listed below. Reconnaissance or evaluation reports and subsequent planning, engineering, and design for major rehabilitation (except seepage or stability correction projects), ~~dam safety assurance~~, deficiency correction, reconstruction, and dredged material disposal facility projects will be funded from Operation and Maintenance, General (O&M) funds allocated for project operation and maintenance or inspection of completed works, as applicable, until CG funds, IWTF, and HSF, as applicable, are appropriated and allocated for such projects. Reconnaissance or evaluation reports for major rehabilitation seepage or stability correction projects and dam safety assurance projects will be funded from O&M funds. Subsequent planning, engineering, and design for these projects will be funded from the CG Dam Safety and Seepage/Stability Correction Program until the next PY when they will be included in the PY request as continuing projects. However, no post-evaluation planning, engineering, and design for major rehabilitation, dam safety assurance, deficiency correction, reconstruction, and dredged material disposal facility projects shall be funded from O&M or CG allocations until a reconnaissance or evaluation report has been approved by HQUSACE CECW-AR, CECW-EP, CECW-P, or CECW-O, respectively. Preconstruction activities for PY-2 and PY-1 should be funded by reprogramming available O&M funds for applicable projects only after the reconnaissance or evaluation report has been approved by HQUSACE CECW-AR, CECW-EP, CECW-P, or CECW-O, as applicable. Initial CG funds, IWTF, and HSF, as applicable, will be programmed for major rehabilitation (except seepage or stability correction projects), ~~dam safety assurance~~, deficiency correction, reconstruction, and dredged material disposal facility projects after applicable reconnaissance or evaluation reports have been approved by HQUSACE CECW-AR, CECW-EP, CECW-P, CECW-O and ASA(CW), as applicable. For PY01 and later, initial preconstruction activities and initial construction work, if applicable in the first year of CG funding, for dam safety assurance projects and major rehabilitation seepage or stability correction projects will be funded under the CG 730 category and class (Dam Safety Assurance and Seepage/Stability Correction Program Project Not Previously Programmed for Construction). In subsequent years, all activities for these projects will be specifically funded in the PY request as continuing projects.

b. In negotiating the terms of a PCA, if required, no commitments relating to a construction schedule or follow-on funding can be made to the non-Federal sponsor until after the economic analysis, if applicable, and the reconnaissance or evaluation report has been approved by HQUSACE CECW-AR, CECW-EP, CECW-P, or CECW-O, as applicable, the planning and policy review process has been completed by ASA(CW), the project or element has been included in the PY program, and the draft PCA has been approved by ASA(CW). The PCA will be executed between the non-Federal sponsor and ASA(CW) after funds are appropriated for construction and prior to advertisement of the initial construction contract for the project.

c. New Major Rehabilitation Projects.

(1) The FY 92 program moved major rehabilitation projects from the O&M appropriation to the CG appropriation. All new major rehabilitation projects will be funded with CG funds; however, continuing major rehabilitation projects started prior to FY 92 under O&M will be completed with O&M funds. One-half of the funding for new major rehabilitation projects for inland and coastal waterways proposed for funding in the PY will be derived from the IWTF.

(2) The major rehabilitation program consists of work included in one or both of two mutually exclusive categories: reliability and efficiency improvement. The threshold amounts listed below for each category are adjusted annually according to the Administration's economic assumptions.

(a) The reliability category encompasses major project feature restoration consisting of structural work on a Corps operated and maintained facility such a lock, dam, hydropower plant, etc., intended to improve the reliability of an existing structure, the result of which will be a deferral of capital expenditures to replace the structure. Rehabilitation will be considered as an alternative when it can significantly extend the physical life of the feature and can be economically justified by benefit-cost ratio analysis. The work will extend over at least two full construction seasons and will require at least ~~\$5.6~~ \$6.0 million in capital outlays. For inland waterways navigation projects, the reliability threshold will be ~~\$9.0~~ \$9.6 million.

(b) The efficiency improvement category encompasses work that will enhance operational efficiency of major project components. Operational efficiency will increase outputs beyond the original project design. Efficiency improvements will require at least ~~\$4.44~~ \$1.18 million in capital outlays on a component which does not exhibit reliability problems.

(3) The project must have an evaluation report at HQUSACE CECW-AR for review by 15 March of the PY-2 in accordance with chapter 3 of ER 1130-2-500 and chapter 3 of EP 1130-2-500 with HQUSACE CECW-AR and ASA(CW) approval expected by 1 August of the PY-2.

(4) The proposed work must require no additional Congressional authorization.

(5) For PY01 and later, initial preconstruction activities and initial construction work, if applicable in the first year of CG funding, for major rehabilitation seepage or stability correction projects will be funded under the CG Dam Safety and Seepage/Stability Correction Program. In subsequent years, all activities for these projects will be specifically funded in the PY request as continuing projects.

d. New Dam Safety Assurance Projects.

~~(1) All new dam safety assurance projects that have not been previously funded with CG funds will be treated as new start construction projects for actual physical construction.~~

~~(2)~~ (1) The project must have an evaluation report, including a base safety standard analysis, approved by HQUSACE CECW-EP and ASA(CW) or at HQUSACE CECW-EP for approval by 1 June of the PY-2 with HQUSACE CECW-EP and ASA(CW) approval expected by 1 August of the PY-2 to be considered for inclusion in the PY program as a continuing project.

~~(3)~~ (2) The proposed work must require no additional Congressional authorization.

(3) For PY01 and later, initial preconstruction activities and initial construction work, if applicable in the first year of CG funding, for dam safety assurance projects will be funded under the CG Dam Safety and Seepage/Stability Correction Program. In subsequent years, all activities for these projects will be specifically funded in the PY request as continuing projects.

e. New Deficiency Correction Projects. The threshold for using CG funds at Corps of Engineers operated and maintained projects recommended for new start deficiency corrections is \$5 million. Deficiencies with an estimated total cost of less than \$5 million at Corps of Engineers operated and maintained projects will be corrected using O&M funds.

(1) For non-Federally operated and maintained projects with an estimated total cost less than \$5 million for which the reconnaissance report recommends cost sharing in accordance with the concepts reflected in the Water Resources Development Acts of 1986 and 1996, the project must have a reconnaissance report approved by HQUSACE CECW-EP or at HQUSACE CECW-EP for approval by 1 June of the PY-2 with HQUSACE CECW-EP approval expected by 1 August of the PY-2.

(2) For both Corps of Engineers and non-Federally operated and maintained projects with an estimated cost equal to or greater than \$5 million or for which the reconnaissance does not recommend cost sharing in accordance with the concepts reflected in the Water Resources Development Acts of 1986 and 1996, the project must have a reconnaissance report approved by HQUSACE CECW-EP and ASA(CW) or at HQUSACE CECW-EP for approval by 1 June of the PY-2 with HQUSACE CECW-EP and ASA(CW) approval expected by 1 August of the PY-2.

(3) The proposed work must require no additional Congressional authorization.

f. New Reconstruction Projects.

(1) Older projects that are properly operated and maintained by non-Federal sponsors but are no longer performing satisfactorily primarily due to their advanced age may be considered for reconstruction. The proposed work will insure that the project continues to deliver the full benefits intended by Congress at the time of authorization; will not expand or change the authorized scope, function, or purpose of the project; and is not operation and maintenance typically associated with a project or corrective work required due to improper maintenance on the part of the non-Federal sponsor.

(2) The project must have a reconnaissance report approved by HQUSACE CECW-P and ASA(CW) or at HQUSACE CECW-P for approval by 1 June of the PY-2 with HQUSACE CECW-P and ASA(CW) approval expected by 1 August of the PY-2.

(3) The proposed work must require no additional Congressional authorization.

g. New Dredged Material Disposal Facility Projects.

(1) Section 201 of the Water Resources Development Act of 1996 provides that the cost of constructing land based and aquatic dredged material disposal facilities that are necessary for the disposal of dredged material for the construction and operation and maintenance of Federal navigation projects for harbors and inland harbors will be shared as a general navigation feature of the project in accordance with Section 101 (a) of the Water Resources Development Act of 1986. Beginning with the FY 99 program, the Federal share of all dredged material disposal facilities for existing navigation projects for which a construction contract for the dredged material disposal facility was not awarded on or before 12 October 1996 will be funded with CG funds. However, continuing dredged material disposal facility projects started prior to FY 99 will be completed with O&M funds. All

Federal funding for dredged material disposal facilities for maintenance of existing Federal navigation projects for harbors and inland harbors, whether funded from O&M or CG funds, is reimbursable from the HSF.

(2) Dredged material disposal facility needs will be identified through O&M funded dredged material management planning activities. Guidance on development, review, approval, and implementation of dredged material management plans is contained in EC 1165-2-200. An advance copy of the EC was distributed by CECW-A/CECW-O/CECW-P memorandum, 19 August 1994, subject: Implementation of Guidance on Dredged Material Management Plans (EC 1165-2-200, Advance Copy dated 21 July 1994). A feasibility level decision document on the dredged material disposal facilities proposed for Corps construction will be submitted to HQUSACE CECW-O for review and approval, including ASA(CW) approval. This report could be a completed dredged material management plan or an interim report.

(3) The project must have an applicable report approved by HQUSACE CECW-O and ASA(CW) or at HQUSACE CECW-O for approval by 1 June of the PY-2 with HQUSACE CECW-O and ASA(CW) approval expected by 1 August of the PY-2.

B-2.5. Reimbursement Projects. Requests for PY funds for construction reimbursement payments to local interests will be submitted as part of the continuing construction program only for reimbursement projects which have previously received an allocation of construction funds for prior reimbursements. Requests for PY funds for reimbursement projects which have not received a prior allocation of construction funds for reimbursement will be submitted as new start construction projects in accordance with the guidance in this subappendix. PY requests may be for all or part of the unfunded Federal share of construction costs on projects, or useful units thereof, which have been completed or are scheduled to be completed as of 30 September of the PY-1, exclusive of previous and anticipated payments for funded work scheduled for completion through the PY-1.

B-2.6. Separable Elements of Ongoing Construction Projects, Resumptions, and Unstarted Projects Previously Funded for Construction.

a. A separable element is a portion of a project which is physically separable from other portions of the project, and which achieves hydrologic effects or produces physical or economic benefits which are separately identifiable from those produced by other portions of the project. **Each item which requires a PCA or memorandum of agreement (MOA) or requires an amendment to such an existing document will be treated as a separable element.**

b. Unstarted separable elements that are not economically justified at the current discount rate, excluding recreation benefits and costs, must not be programmed for planning, engineering and design or construction. Planning, engineering and design and construction for separable elements that are economically justified at the current discount rate excluding recreation benefits and costs may be programmed in the period PY through PY+9. **However, information required for PY new construction starts must be submitted for such separable elements for the PY in which they are programmed to initiate construction.** Unstarted separable elements, both programmed and unprogrammed, as applicable, must reflect the cost sharing and financing concepts in the Water Resources Development Acts of 1986 and 1996.

c. Although funds for separable elements of ongoing construction projects are not programmed on an individual basis and are included as part of the program requests for their parent projects, each active uncompleted separable element, whether programmed or unprogrammed, must be shown individually, similar to a subproject in the Project Cost Estimate, PB-3, and Detailed Project Schedule, PB-2a, which are prepared for each parent project. Each such separable element must include its applicable construction costs plus its associated planning, engineering and design and construction management costs. Total Federal and non-Federal costs for each separable element must also be shown on the PB-3 and PB-2a. Furthermore, the method of financing for Federal and non-Federal funds for each separable element must also be shown on the PB-2a. In

addition to the separable elements identified during previous program submissions, all other uncompleted separable elements must be shown on PB-3s and PB-2as, even if funds are not requested for the separable elements in the PY. Also, a separate Illustration B-2.1, Project Data Summary, must be prepared for each separable element shown on the PB-3 and PB-2a. In addition, Illustration B-2.4, PY Justification Sheet must be submitted for each unstarted separable element recommended for funding for construction in the PY. For this purpose, unstarted separable elements are those that will not have construction work under contract by 30 September of the PY-1.

d. Resumptions are projects on which construction was stopped but can now be resumed. Unstarted projects are projects that were previously funded for construction but not physically started. For this purpose, resumptions and unstarted projects are those that will not have construction work under contract by 30 September of the PY-1, were not included in the PY-1 program, or were not funded in the conference report which accompanied the PY-1 appropriations act.

e. Economic analyses supporting PY funding requests for the early stages of planning, engineering and design for unstarted separable elements, resumptions, and unstarted projects should be presented as follows: Costs should be updated to current price levels. Benefits should be those reported in the latest approved evaluation, e.g., EDR or reevaluation report, and must not be price indexed in any case except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits. The total BCR at the applicable and current discount rates will be computed in the following manner: deflate the updated project cost to the price level of the latest approved detailed economic evaluation using adjustments for price level changes experienced in the interim period. The CWCCIS and ENR indices are both acceptable for use in deflating project costs. Next, annualize the deflated project cost at each discount rate and divide the costs into the benefits which also must be annualized at each discount rate. Economic analyses supporting PY funding requests for construction of unstarted separable elements, resumptions, and unstarted projects must be contained in an official report approved in or later than PY-5. In no case should the benefits be price indexed except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits. After a decision has been made by the Director of Civil Works and ASA(CW) to include a separable element, resumption, or unstarted project in the PY program and construction funds have been appropriated for such work, no further update of the economic analysis will be required during the approval process for the non-Federal sponsor's financing plan and execution of the PCA provided the PCA is approved in the PY and no significant changes which may effect economic justification have been made from the latest approved document.

f. Unstarted separable elements, resumptions, and unstarted projects being considered for construction will undergo the same critical review and selection process as new start construction projects in accordance with the criteria listed in Table B-2.1 and must be supported by an approved EDR, as applicable, or MSC or HQUSACE CECW-P approved LRR or GRR, as applicable, which specifically addresses the work recommended for construction.

B-2.7. Adjustments to PY-1 Programs. When Congress takes action on the PY-1 appropriations bill, appropriate revisions to Division submissions will be requested.

B-2.8. Cost Estimates and Inflation Factors. Cost estimates for all construction projects and separable elements will be based on a 1 October of the PY-1 price level with an allowance for inflation through the construction period assuming an efficient rate of construction.

a. Project Cost Estimates, PB-3s, for projects which are recommended for funding in the PY should be updated to a 1 October of the PY-1 price level in accordance with the instructions in ER 11-2-240. Separable elements must be shown individually on the PB-3s. Federal and non-Federal cost sharing must reflect the guidance in this subappendix. The cost estimates for new start construction projects, new major rehabilitation

projects (except seepage or stability correction projects), ~~new dam safety assurance projects~~, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects, resumptions, new reimbursement projects, unstarted projects, and unstarted separable elements must be complete and reliable to assure credibility with the project sponsor, the Administration, and the Congress.

b. Inflation factors for the period PY through PY+9 which must be used for updating cost estimates to include future inflation for the PY submission to CECW-B are shown on Table 1 of the EC. These factors must be used to escalate future costs for consultants, A-E contractors, GM/GS employees, wage board employees, construction, and operation and maintenance activities through the construction period for each project. The PY+9 inflation factors, compounded as appropriate, must be used for that portion of the construction period beyond PY+9 to project completion. Instructions for escalating estimates beyond PY+9 are provided at the bottom of Table 1.

c. Effective 1 October 1985, funds obligated for continuation of planning and engineering studies (CP&E) are considered project costs and must be included in project cost estimates. However, CP&E funds obligated prior to 1 October 1985 remain excluded from project cost estimates. Funds allocated for CP&E, which are obligated on or after 1 October 1985, and all advance engineering and design (AE&D) and preconstruction engineering and design (PED) funds shall be made a part of the cost allocation to project purposes and the cost apportionment between Federal and non-Federal shares.

d. Items which are indefinite or unprogrammed will be based on a 1 October of the PY-1 price level without an allowance for future inflation and their costs will be included in the unprogrammed balance to complete for each project. Indefinite or unprogrammed items include parts of projects that will very likely not be programmed due to lack of local support or other non-funding reasons, unstarted separable elements which have a benefit-cost ratio less than 1.0 at the current discount rate excluding recreation benefits and costs, and some physically unstarted projects or separable elements which are not presently ready for initiation of construction and which require further design. Many items in the unprogrammed balance to complete, although currently designated as active, may eventually be deauthorized or reclassified to the deferred or inactive categories, and all items must reflect the cost sharing and financing concepts in the Water Resources Development Acts of 1986 and 1996. Some indefinite or unprogrammed items may proceed to construction at a future date, at which time they would be included in the programmed portion of the applicable project.

e. Contracts for programmed work and other associated activities such as land acquisition, planning, engineering and design, and construction management will be inflated through the construction period for each project to project completion.

f. Cost estimates and program requests will include future pay raises for GM/GS and wage board employees through the construction period to project completion. Adjustments will be made by CECW-B to reflect, if necessary, Administration assumptions regarding absorption of the raises.

g. To estimate the inflation allowance for construction projects to be included in the PY submission to CECW-B, and for other projects where appropriate, use the methodology provided below and the schedule developed for each project at the Baseline Level. The inflation allowance for each project will be computed only once and will be used without recomputation for all funding level schedules. The Non-Federal costs for these projects will be escalated to include an inflation allowance for future years in the same manner as Federal costs.

h. Instructions for escalating project cost estimates to include an allowance for future inflation are provided below.

- (1) Develop a Baseline Level schedule for each project at a 1 October of the PY-1 price level.

- (2) Do not further escalate contracts already awarded or to be awarded by 30 September of the PY-2.
- (3) Escalate each contract to be awarded in the PY-1 and future years through its construction period in accordance with the guidance in Table 1.
- (4) Escalate land acquisition, in-house planning, engineering and design costs, in-house construction management costs, and Non-Federal costs through the construction period also in accordance with the guidance in Table 1.

B-2.9. Schedules, Completion Dates, Contingencies and Funding Levels.

- a. A Detailed Project Schedule, PB-2a, will be prepared using PRISM for each project for the Baseline Level based on the assumptions noted above in accordance with the PRISM Users Manual. However, the automated PB-2a/PBS link will not be activated. Therefore, the Baseline Level funding amounts from the PB-2a may be input into PBS by PRISM or may be manually input into PBS for Illustration B-2.1, Project Data Summary.
- b. A completion date for each project will be developed for the Baseline Level. If the completion date for the entire project is indefinite, then the completion date for the currently programmed construction work will be used. If planning, engineering and design is the only programmed activity and all construction work is unprogrammed, then the completion date will be shown as indefinite. For projects which include beach nourishment, show separate completion dates for initial construction and periodic nourishment.
- c. After the Baseline Level is developed using PRISM, Districts/Divisions will also develop a Capability Level, defined below, for each project by inputting data directly into PBS for Illustration B-2.1, Project Data Summary, prior to submission of all information to CECW-B. **The Capability Level funding for each fiscal year, including inflation allowances, should reflect the amounts that can realistically be expended during the 10-year period, PY through PY+9, based on in-house technical capability and a realistic financing capability on the part of the non-Federal project sponsors. It is extremely important that Districts and Divisions carefully consider Capability Level amounts, and not merely copy the Baseline Level amounts into the Capability Level unless the Baseline Level amounts actually reflect their Capability Level efforts. The ten year program recommendations to OMB and reallocations of PY through PY+9 ceiling amounts will be derived from the Capability Level. Districts and Divisions that merely copy the Baseline Level amounts into the Capability Level for convenience and ease of entry will be shortchanged in the ceiling allocation process.**
- d. Savings and slippage reductions and assumed work allowances for the PY-1 construction program, as discussed above, must be reflected in the PB-2as which are submitted to CECW-B using PRISM.
- e. The cost estimate for each project, subproject, or separable element of a project must include a separate item for contingencies as an allowance against some adverse or unanticipated condition not susceptible to exact evaluation from available data. Contingencies will be displayed under a separate feature using feature code 59. Separate line-items and descriptions may be used, if desired, under feature 59 to specifically display the contingencies associated with the work shown under features 01 through 31. The contingency allowance should be varied according to the stage of planning and design after considering the sufficiency of the data which form the basis of each quantity estimate. ER 1110-2-1302, appendix D, shows reasonable percentage factors to be used for contingency allowances in estimates of costs for construction and relocation features. For projects that are not programmed to complete in the PY, the project cost estimate may include appropriate contingency allowances. However, the PY request must not include an amount for contingencies and such allowances must be distributed in the outyears in proportion to the work to which the contingencies apply. Contingencies may only be included in the programmed or unprogrammed balance to complete in proportion to the work included therein. For projects that are programmed to complete in the PY, the PY request may include an appropriate, reasonable

amount for contingencies. As a project nears completion, the contingency allowance must be reduced accordingly. **In no case will contingencies for completed work be included in the programmed or unprogrammed balance to complete subsequent to programmed project completion in the PY through PY+9.** Claim settlements and deficiency judgements in the PY through PY+9 will be handled in accordance with normal reprogramming procedures. PY through PY+9 requests must not include amounts for anticipated claim settlements or anticipated deficiency judgements.

f. Optimum funding schedules for continuing projects and separable elements included in the President's program far exceed the available ceilings for each fiscal year. This is true notwithstanding any proposed policy changes. Therefore, optimum project schedules must be fundamentally revised to accommodate the allocated ceilings. This will extend project completion dates far beyond their optimum schedules and may require undesirable contract sequencing, such as scheduling contracts on a no-gap basis or even including periods where no work is underway. We realize that delays due to constrained program ceilings will be a primary cause of extended project completion dates. **When project schedules are revised to accommodate the allocated ceilings, individual contracts, including associated contingencies, must be continuous. Contracts must not show lapses in earnings or show contingencies in the programmed or unprogrammed balances to complete separately from other portions of the contract. If large contracts cannot be accommodated within the allocated ceilings, they must be broken up into discrete pieces. Furthermore, contracts must not be awarded in such a manner that they create future funding requirements that cannot be accommodated within the allocated ceilings. Above all, programmed projects and separable elements must be treated consistently, and specific projects should not be singled out for accelerated funding nor should they be unduly delayed. Project managers must be involved in developing the revised project schedules. They have a crucial role to play in complying with the constrained funding ceilings and must be deeply involved in finding the least damaging ways to reduce funding requirements.**

g. Funding level definitions are provided below.

(1) **Baseline Level.**

(a) The Baseline Level includes funds to maintain, insofar as possible, the completion dates for all continuing construction projects based on the Administration's PY-1 program. The Baseline Level should reflect the funding decisions shown on the PY-1 Congressional Detailed Project Schedules (PB-2as); that is, earnings for new or unawarded contracts should not be accelerated and earnings for ongoing contracts should reflect actual progress. However, contracts for unprogrammed separable elements which were not programmed in the PY-1 program may be programmed in the PY or outyears as otherwise appropriate. Also, new start construction projects, new major rehabilitation projects (except seepage or stability correction projects), ~~new dam safety projects~~, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects, new reimbursement projects, resumptions, unstarted projects, unstarted separable elements, and periodic beach nourishment projects will be included in this level.

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(b) To assure consideration of the OMB funding ceilings for CG, including IWTF, HSF, and MR&T, and minimize revision of field input after submission to CECW-B, Baseline Level ceiling amounts for PY through PY+9 for items covered by this subappendix have been assigned to Divisions as shown on Table B-2.3. These ceilings reflect the OMB PY ceilings for CG, including IWTF, HSF, and MR&T appropriations. Each Division's total Baseline Level amount for CG, IWTF, and HSF **continuing** projects must not exceed its assigned ceiling for the PY through PY+9. Ceiling amounts may not be shifted to subsequent fiscal years to reflect schedule slippages. CECW-B may adjust assigned ceiling amounts subsequent to the initial program submission to reflect Congressional action on the PY-1 appropriations or other special circumstances. Nevertheless, each Division's initial program submission must not exceed its assigned PY through PY+9 ceilings for continuing projects. The

CG, IWTF, and HSF ceiling amounts **include** all PY continuing items covered by subappendix B-2 which were programmed in PY-1 (i. e. PY-1 continuing construction projects, major rehabilitation projects, dam safety assurance projects, deficiency correction projects, reconstruction projects, dredged material disposal facility projects, reimbursement projects, resumptions, unstarted projects, unstarted separable elements) ~~and periodic beach nourishment projects not included in the PY-1 program~~. The applicable ceiling amounts assigned to designated high priority projects included in the President's PY-1 program must not be diverted to other continuing projects. If the ceiling cannot be used on a designated high priority project, the excess amount must be reported to CECW-BE so that it can be reallocated to meet Corps wide needs. The CG, and IWTF ceiling amounts **exclude** continuing construction projects, or portions thereof, excluded from the President's PY-1 program by OMB, and all PY through PY+9 new starts, including new start construction projects, new major rehabilitation projects, new dam safety assurance projects, new deficiency correction projects, new reconstruction projects, new reimbursement projects, new dredged material disposal facility projects, resumptions, unstarted projects, and unstarted separable elements, and periodic beach nourishment projects not included in the PY-1 program. Division CG total program amounts may exceed their CG and IWTF ceilings by the amount for new start activities and continuing projects, or portions thereof, excluded from the President's PY-1 program by OMB. We will adjust each Division's total CG and IWTF ceiling amount after selections are completed for new start and continuing items to be included in the PY submission to OMB and Congress. For MR&T, the ceilings include both new starts and PY continuing items.

(2) **Decrement Level.** A Decrement Level input will not be required with the initial program submission.

(3) **Capability Level.** In addition to the activities in the Baseline Level, the Capability Level includes funds to advance the construction schedule of a project by advancing the completion of a useful increment of work to provide earlier realization of benefits or by advancing completion of the entire project. **The Capability Level funding for each fiscal year, including inflation allowances, should reflect the amounts that can realistically be expended during the 10-year period, PY through PY+9, based on in-house technical capability and a realistic financing capability on the part of the non-Federal project sponsors. It is extremely important that Districts and Divisions carefully consider Capability Level amounts, and not merely copy the Baseline Level amounts into the Capability Level unless the Baseline Level amounts actually reflect their Capability Level efforts. The ten year program recommendations to OMB and reallocations of PY through PY+9 ceiling amounts will be derived from the Capability Level. Districts and Divisions that merely copy the Baseline Level amounts into the Capability Level for convenience and ease of entry will be shortchanged in the ceiling allocation process.**

B-2.10. **Recreation Facilities.** In accordance with the current policy on Federal funding of recreation facilities at projects under construction, additional recreation facilities will not be programmed, except for minimum facilities needed for health and safety as defined in ER 1165-2-400, unless local interests agree to provide 50 percent cost sharing and financing for their share of recreation costs and to bear 100 percent of the recreation operation and maintenance costs in accordance with the cost sharing and financing concepts in the Water Resources Development Act of 1986.

a. For projects where local interests have definitely declined to provide Non-Federal cost sharing, or where there is not yet a cost sharing agreement for whatever reason, include minimum facilities for health and safety in the project schedules, as appropriate, and include remaining recreation facilities in the unprogrammed balance to complete beyond PY+9. However, recreation development previously approved by ASA(CW) at 100 percent Federal cost may be completed.

b. For continuing construction projects with recreation facilities previously included in the unprogrammed balance to complete for which non-Federal interests have expressed a desire to construct all or a portion of the unprogrammed facilities, construction of such recreation facilities will be considered a PY new investment

decision and will be included on Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary. Furthermore, such work must be submitted to HQUSACE CECW-B as a new start separable element for PY construction funding even though the proposed recreation facilities may be included in an executed PCA or section 221 agreement.

c. For continuing construction projects with recreation facilities which are not included in an executed PCA or section 221 agreement, construction of such recreation facilities will be considered a PY new investment decision and will be included on Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary. Furthermore, such work must be submitted to HQUSACE CECW-B as a new start separable element for PY construction funding.

d. For new start construction projects or unstarted separable elements, construction of recreation facilities will be considered together with the primary portion of the project or separable element as a PY new investment decision and will be included on Illustration B-2.7, New Start Construction Checklist.

B-2.11. Cost Sharing.

a. For navigation projects, section 101.(a).(1). of the Water Resources Development Act of 1986 and section 201 of the Water Resources Development Act of 1996 specifies that the cost sharing and financing provisions reflected in the Act shall apply to any project, or separable element thereof, on which a contract for physical construction has not been awarded before the date of enactment of the Act, 17 November 1986.

b. For flood control and other projects, section 103.(e).(1). of the Water Resources Development Act of 1986 specifies that the cost sharing and financing provisions of the act shall apply to any project, or separable element thereof, on which physical construction is initiated after 30 April 1986, except for specific projects exempted from this provision as noted in the Act. Section 202 (a) of the Water Resources Development Act of 1996 specifies that the non-Federal share of project costs assigned to flood shall be 35 percent for any project authorized after the date of enactment of the Act, 12 October 1996.

c. For new deficiency correction projects at non-Federally operated and maintained projects, cost sharing and financing will reflect the concepts of the Water Resources Development Acts of 1986 and 1996 unless an exception is granted by ASA(CW) during the reconnaissance report review and approval process. However, these projects will reflect the cost sharing and financing concepts in the Water Resources Development Acts of 1986 and 1996 until excepted from such cost sharing by ASA(CW). For new deficiency correction projects at Corps of Engineers operated and maintained projects, there will be no cost sharing required unless a non-Federal sponsor has contributed toward the initial construction of the project. Payment may be required of public entities which have signed agreements with the Government, e.g. for water supply storage.

d. For dam safety assurance projects that have not been previously programmed for construction, cost sharing and financing will reflect a non-Federal cash contribution allocated to project purposes in accordance with Section 1203.(a) of the Water Resources Development Act of 1986.

e. For new reconstruction projects, cost sharing and financing will reflect the concepts of the Water Resources Development Acts of 1986 and 1996.

f. For resumptions, cost sharing and financing will depend on the circumstances under which construction on the project was stopped. Generally, if it was at the request of, or due to action by local interests, cost sharing and financing concepts reflected in the Water Resources Development Acts of 1986 and 1996 will apply. However, if the project was stopped by other parties, such as in the case of a court injunction, then the originally authorized cost sharing and financing requirements will be applicable.

g. Projects and separable elements for which construction was ongoing with respect to applicable portions of the Water Resources Development Act of 1986 are not affected by the cost sharing provisions of the Water Resources Development Acts of 1986 and 1996.

h. New preconstruction engineering and design type activities funded under the CG account either by inclusion in the PY program or by Congressional add will be subject to concurrent non-Federal financing of 25 percent of the cost of these efforts. Adjustments to reflect project cost allocations in the PCA for each project will be made during the first year of construction to ensure that the overall cost sharing for each project is consistent with applicable law.

i. New feasibility report or GRR type activities funded under the CG account either by inclusion in the PY program or by Congressional add will be subject to concurrent non-Federal financing of 50 percent of the cost of these efforts. Adjustments to reflect project cost allocations in the PCA for each project will be made during the first year of construction to ensure that the overall cost sharing for each project is consistent with applicable law.

j. Since Federal funds are limited, it is especially important that financial obligations for construction in each fiscal year include the appropriate non-Federal cash share. For each project, non-Federal required cash contributions and Federal funds should be obligated such that the sponsor's percentage cash share of financial obligations for construction in each fiscal year is equal to the sponsor's overall percentage cash share of total financial obligations for construction. The exception is in the first fiscal year of construction, when the sponsor's required cash contributions should be higher than this proportion because it will include the non-Federal share of sunk PED and engineering and design costs, other than non-Federal contributions already made, if any. Credit for authorized and approved construction by the sponsor, if any, should be included in financial obligations for construction and applied toward the sponsor's required cash contribution (other than the 5 percent cash share required for structural flood control) in the year that the credit for the completed work is afforded. In all cases the schedule for obligating and expending non-Federal funds is independent of the schedule for the provision or crediting of LERRDs. Failure to obtain, obligate, and expend non-Federal cash contributions in the proper proportion results in the improper, excessive obligation and expenditure of Federal funds and the unnecessary delay of projects whose schedules are constrained by the availability of Federal funds.

B-2.12. Remaining Benefit-Remaining Cost Ratio (RBRCR). Use the following guidelines to compute the RBRCR at the applicable interest rate and current interest rate for Illustration B-2.1, Project Data Summary.

a. Consider anticipated Federal and non-Federal allocations and other non-Federal costs through the PY-1 as sunk, and exclude them from the RBRCR computation. The amortization and interest portion of the annual charges will be computed on the remaining first costs and the interest during construction for the remainder of the construction period. Include total project operation and maintenance costs and benefits, unless the project is in a category described below.

b. Where the project includes completed independent units or useful increments, the realized annual benefits will also be excluded from the RBRCR computation, along with the sunk costs. In this case, sunk costs include operation and maintenance costs as well as capital costs of the completed independent units or increments. For beach erosion control projects where the initial fill has been completed and only periodic nourishment remains to be accomplished, indicate the RBRCR is not applicable because initial construction has been completed. For uncompleted reservoir projects that are not formally operational, i. e., a permanent pool has not been impounded, flood control benefits from work in place may be treated as incidental benefits and included in the RBRCR computation.

c. The RBRCR supporting PY funding requests for the early stages of planning, engineering and design for unstarted separable elements, resumptions, and unstarted projects when a current evaluation contained in an official report approved in or later than PY-5 is not available should be computed in the following manner: deflate

the updated project cost to the price level of the latest approved detailed economic evaluation, deflate the expended project costs to the price level of the latest approved evaluation, reduce the deflated project cost estimate by the deflated expended costs, annualize the remaining project costs at the required discount rates, and divide the remaining annualized costs into the benefits which also must be annualized at the required discount rates. In no case should the benefits be price indexed except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits. The RBRCR should be reported with the price level and date of benefit evaluation noted (see sample explanation for Illustration B-2.4 in Basis for Benefit-Cost Ratio paragraph).

d. The RBRCR supporting PY funding requests for construction of unstarted separable elements, reimbursement projects, reconstruction projects, resumptions, and unstarted projects must be based on current approved evaluations of benefits and costs contained in an official report approved in or later than PY-5. Computation of the RBRCR should follow the instructions in paragraph B-2.12.c above. In no case should the benefits be price indexed except for specific benefit categories such as roads, bridges, and rail lines provided that these benefits do not constitute a major portion of overall benefits.

e. For projects that are complete for all practical purposes, or were authorized without a formal benefit-cost analysis, indicate the RBRCR is not applicable because the project is nearing completion or because monetary benefits have not been quantified, as appropriate.

B-2.13. Supporting Data. The following items must be prepared as indicated for each project for which funds are requested in the PY.

a. Detailed Project Schedule, PB-2a, will be prepared using PRISM for the Baseline Level for each project for which funds are requested in the PY. However, the automatic PB-2a to PBS copy feature will not be activated. The Baseline Level PB-2a must reflect the funding decisions for continuing projects shown on the PY-1 Congressional PB-2a and must display all active uncompleted separable elements. Note that the current PB-2a format shows a breakdown through PY+9. The PB-2a has also been modified to separately display Federal funds, Inland Waterways Trust Funds, Harbor Maintenance Trust Services Funds, non-Federal cash contributions and other costs, and Other Federal Agency funds in the method of financing tabulations. Contingencies will be displayed under a separate feature using feature code 59. Separate line-items and descriptions may be used, if desired, under feature 59 to specifically display the contingencies associated with the work shown under features 01 through 31.

b. Illustration B-2.1, Project Data Summary, will be prepared for each continuing project or separable element, each project or separable element expected to be recommended as a new construction start during the period PY through PY+9, and each programmed or unprogrammed separable element included in a Detailed Project Schedule, PB-2a, for a parent project proposed for funding in the PY, in accordance with instructions in the PRISM Users Manual. This includes new start construction projects, new major rehabilitation projects, new dam safety projects, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects, new reimbursement projects, resumptions, unstarted projects, and unstarted separable elements. Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. A separate data field has been established to show remaining PED costs on each Illustration B-2.1 for PY+1 through PY+9 new construction start projects or separable elements so that PED costs will not be included with construction costs in the 10 year construction program. The Baseline Level funding amounts from the PB-2a may be input into PBS by PRISM or may be manually input into PBS since the automatic PB-2a to PBS copy feature will not be activated. The Capability Level funding amounts will be directly entered into PBS by the field. Illustrations B-2.2A, B-2.2B, B-2.2C, B-2.2D, and B-2.3 provide summaries of Federal (Corps) funding requirements, Inland Waterways Trust Fund requirements, Harbor Maintenance Trust Services Fund requirements, Other Federal Agency funding requirements, Non-Federal cash contributions and other costs, and completions, respectively, from data developed for each Illustration B-2.1. **The Capability**

Level funding for each fiscal year, including inflation allowances, should reflect the amounts that can realistically be expended during the 10-year period, PY through PY+9, based on in-house technical capability and a realistic financing capability on the part of the non-Federal project sponsors.

c. Illustration B-2.4, PY Justification Sheet, will be prepared for the Baseline Level for each new start construction project, new major rehabilitation project, ~~new dam safety assurance~~, new deficiency correction project, new reconstruction project, new dredged material disposal facility project, new reimbursement project, resumption, and unstarted project which is recommended for funding in the PY. In addition, although funds for separable elements of ongoing construction projects are not programmed on an individual basis and are included as part of the program requests for their parent projects, Illustration B-2.4, PY Justification Sheet, will be prepared for each unstarted separable element which is recommended for funding for construction in the PY. The justification sheets must be typed on standard size paper, 8 1/2 inches by 11 inches, as left justified Word97 or earlier version documents at 6 lines per inch (.167 inch line height) using a landscape 10 point font (12 characters per inch); Courier or ~~Prestige Elite~~ Arial are the preferred typefaces. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides, and 1 inch margins on the top and bottom. The June submission must be submitted by email as a Word97 or earlier version document. See paragraph 11.b.(2).(a). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 4.0 file for transmission of the Congressional submission to HQ. The appropriation title and project classification must be typed as the first line in the body and the Division, District, and project name must be typed in the 1 inch bottom margin. Do not underline any headings. ~~All Illustrations B-2.4 must be electronically submitted as Word97 or earlier version documents using the email system.~~ Illustrations B-2.4 for continuing projects will be requested at a later date for the PY submission to Congress.

d. Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary, will be prepared to identify each new major rehabilitation project, ~~new dam safety assurance project~~, new deficiency correction project, new reconstruction project, new dredge material disposal facility project, resumption, unstarted project, and unstarted separable element of an ongoing project recommended for construction funding in the PY in either the baseline or capability levels. In addition, for continuing construction projects with recreation facilities included in the unprogrammed balance to complete for which non-Federal interests have expressed a desire to construct all or a portion of the unprogrammed facilities, construction of such recreation facilities will be considered a PY new investment decision and will be included on Illustration B-2.6 even though the proposed recreation facilities may be included in an executed PCA or section 221 agreement.

e. Illustration B-2.7, New Start Construction Checklist, will be prepared to identify PY new start construction projects that are recommended in either the baseline or capability levels in accordance with the criteria listed in Table B-2.1.

f. You should be prepared to submit three copies of the document confirming compliance with preliminary selection criterion number 3 of Table B-2.1 for all recommended new start candidates. If the recommended plan materially differs either in scope or costs (20 percent, adjusted) from the authorized plan, or from that included in the report being processed for submission to Congress, three copies of the reevaluation report justifying such deviation will be required. If copies of required reports have been sent for previous program submissions, CECW-B will verify the availability of these reports before requesting additional copies.

g. A reproducible map will be provided for each new start construction project, new major rehabilitation project, ~~new dam safety assurance project~~, new deficiency correction project, new reconstruction project, new dredged material disposal facility project, new reimbursement project, resumption, unstarted project, and unstarted separable element of an ongoing project recommended for funding for construction in the PY. ~~The map must be prepared on 8 1/2 by 11 inch paper and must not be folded. Project status maps submitted to Congress must also be prepared on 8 1/2 x 11 inch paper. Larger folded maps are no longer acceptable because they~~

~~cannot be machine collated when sets of justification sheets are assembled. The map must be printed and marked in black only to facilitate reproduction. Refer to paragraph 11.b.(2)(a) for specific preparation instructions.~~ For the June submission, a copy of a location or project map from a feasibility report, design memorandum, or other document will be sufficient. The June submission map must be marked in black reproducible pencil to clearly show the project and separable elements thereof, if applicable, in relation to nearby geographical features. The purpose of the map is to aid in understanding the nature of the project or separable element.

B-2.14. **Coding Instructions.**

a. An automated database will be developed for the construction program using the PBS module of PRISM. Coding instructions have been provided in the PRISM Users Manual. A PB-2a will be prepared using PRISM for the Baseline Level for each project recommended for funding in the PY. However, the automatic PB-2a to PBS copy feature will not be activated. Therefore, the Baseline Level funding amounts from the PB-2a may be input into PBS by PRISM or may be manually input into PBS for Illustration B-2.1, Project Data Summary. The Capability Level funding amounts will be directly entered into PBS by the field for Illustration B-2.1.

b. Illustration B-2.1, Project Data Summary, Illustration B-2.2A, Federal (Corps) Funding Requirements Summary, Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary, Illustration B-2.2C, Other Federal Agency Funding Summary, Illustration B-2.2D, Non-Federal Cash Contributions and Other Costs Summary, Illustration B-2.2E, Harbor ~~Maintenance Trust Services~~ Fund Requirements Summary, and Illustration B-2.3, Completions Summary, may be extracted from the PBS database.

B-2.15. Submission Requirements. Copies of the following items must be submitted to HQUSACE CECW-BE, C, or W, as applicable, WASH DC 20314-1000, except as noted, by the date and in the amount indicated below.

a. Baseline Level PB-2a prepared using PRISM for each project for which funds are requested in the PY, database will close 30 June, ADP output, no hardcopy submission required.

b. Illustration B-2.1, Project Data Summary Table, for each continuing project or separable element, each project or separable element expected to be recommended as a new construction start during the period PY through PY+9, and each programmed or unprogrammed separable element included in a Detailed Project Schedule, PB-2a, for a parent project proposed for funding in the PY. This includes new start construction projects, new major rehabilitation projects, ~~new dam safety assurance projects~~, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects, new reimbursement projects, resumptions, unstarted projects, and unstarted separable elements. For the Baseline Level, Individual Illustrations B-2.1 prepared for programmed and unprogrammed separable elements will be rolled up into their parent projects by PRISM. Database will close 30 June, ADP output, no hard copy submission required.

c. Illustration B-2.2A, Federal (Corps) Funding Requirements Summary, database will close 30 June, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1.

d. Illustration B-2.2B, Inland Waterways Trust Fund Requirements Summary, database will close 30 June, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1

e. Illustration B-2.2C, Other Federal Agency Funding Summary, database will close 30 June, ADP output, no hard copy submission required. This is summary of all Illustrations B-2.1.

f. Illustration B-2.2D, Non-Federal Cash Contributions and Other Costs Summary, database will close 30 June, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1.

g. Illustration B-2.2.E, Harbor ~~Maintenance Trust~~ Services Fund Requirements Summary, database will close 30 June, ADP output, no hard copy submission required. This is a summary of all Illustrations B-2.1

h. Illustration B-2.3, Completions Summary, database will close 30 June, ADP output, no hardcopy submission required. This is a summary of all Illustrations B-2.1.

i. Illustration B-2.4, PY Justification Sheet, for the Baseline Level for each new start construction project, new major rehabilitation project, ~~new dam safety assurance project~~, new deficiency correction project, new reconstruction project, new dredged material disposal facility project, new reimbursement project, resumption, unstarted project, and unstarted separable element of an ongoing project recommended for construction funding in the PY, 1 June, no hardcopy required. All Illustrations B-2.4 must be electronically submitted as Word97 or earlier version documents using the email system. The June submission must be submitted by email as a Word97 or earlier version document. See paragraph 11.b.(2).(a). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 4.0 file for transmission of the Congressional submission to HQ.

j. Illustration B-2.6, PY Proposed New Major Rehabilitation and Other New Work Summary. Each new major rehabilitation project, ~~new dam safety assurance project~~, new deficiency correction project, new reconstruction project, new dredged material disposal facility project, resumption, unstarted project, unstarted separable element of an ongoing project, and additional recreation facility recommended for construction funding in the PY must be listed, 1 June, 3 copies.

k. Illustration B-2.7, New Start Construction Checklist, to identify PY new start construction projects that are recommended in accordance with the criteria listed in Table B-2.2, 1 June, 10 copies.

l. Feasibility Report with Engineering Appendix, EDR, and/or LRR or GRR for each new start construction project recommended for construction funding in the PY, when requested, 3 copies.

m. A reproducible map on 8 1/2 inch by 11 inch paper for each new start construction project, new major rehabilitation project, ~~new dam safety assurance project~~, new deficiency correction project, new reconstruction project, new dredged material disposal facility project, new reimbursement project, resumption, unstarted project, and unstarted separable element of an ongoing project recommended for construction funding in the PY, 1 June, 10 copies. Larger folded maps are no longer acceptable. See paragraph 11.b.(2).(a). of the main EC for specific instructions concerning conversion of your maps to an Adobe Acrobat 4.0 file for transmission of the Congressional submission to HQ.

n. Evaluation or reconnaissance report, as applicable, for each new major rehabilitation project ~~new dam safety assurance project~~, new deficiency correction project, and new dredged material disposal facility project recommended for construction funding in the PY, including submission letter and subsequent forwarding and approval endorsements; 15 March for new major rehabilitation projects, 3 copies to HQUSACE CECW-AR; 1 June for ~~new dam safety assurance projects~~, new deficiency correction projects, and new dredged material disposal facility projects, 3 copies to HQUSACE CECW-AR, CECW-EP, and CECW-O, respectively.

o. EDR or reevaluation report for each unstarted separable element, resumption, or unstarted project recommended for construction funding in the PY, including submission letter and subsequent forwarding and approval endorsements, 1 June, 3 copies.

p. Approved M-CACES baseline cost estimate (summary sheets to the subfeature element level for each feature and the appropriate narrative) for each new start construction project, new major rehabilitation project (except seepage or stability correction projects), ~~new dam safety assurance project~~, new deficiency correction

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project, new reconstruction project, new dredged material disposal facility project, new reimbursement project, resumption, unstarted project, and unstarted separable element recommended for construction funding in the PY, 1 June, 1 copy.

TABLE B-2.1
NEW STARTS: CONSTRUCTION
(INCLUDING SEPARABLE ELEMENTS, RECONSTRUCTION PROJECTS,
REIMBURSEMENT PROJECTS, RESUMPTIONS, AND UNSTARTED PROJECTS)

BASIC, PRELIMINARY SELECTION AND PRIORITIZATION CRITERIA

BASIC CRITERIA

1. The project is authorized for construction, or will complete PED prior to the PY.
2. The project has net NED benefits at the applicable discount rate or is responsive to mitigation, restoration, or protection of environmental resources.
3. PED is fully funded by the end of the PY-1 and the PCA is on schedule to be executed and the Financing Plan approved no later than the end of the PY.
4. The Project Manager has confirmed the sponsor's understanding of its contractual and financial commitments and its ability to meet the funding requirements of the construction schedule, including payback of its share of PED costs.
5. If the project has an unapproved report involving a significant change in project scope or cost or for addition of fish and wildlife mitigation measures, the required change(s) recommended in the report must be scheduled for Washington level review and approval by ASA(CW) by 1 August of the PY-2.

PRELIMINARY SELECTION CRITERIA

1. Appropriate evaluation of project merits is contained in a Corps report and, in the case of a project the justification of which is based on NED benefits, the project has net NED benefits, at the current discount rate, based on firm benefits and an approved M-CACES baseline cost estimate.
2. The project is in compliance with the applicable environmental statutes, appropriate to the current stage of implementation.
3. The planning and policy review process for the recommended plan is scheduled for completion by ASA(CW) by 1 August of PY-2. For those projects where there are no substantial changes to the project plan presented in the feasibility report with an engineering appendix approved by ASA(CW), the feasibility report will serve as the necessary document. For all other projects, an approved EDR, as applicable, or MSC or HQUSACE CECW-P approved GRR, as applicable, will be required in accordance CECW-A Policy Memorandum No. 2, 6 April 1995, subject: Civil Works Decision Document Review-Policy Compliance. If the economic analysis in the applicable document was approved earlier than PY-5, a LRR on the project economics will be required in accordance with paragraph 8 of the main part of the EC and paragraph B-2.3.a of this subappendix. The LRR may be approved by the MSC.
4. A M-CACES baseline cost estimate has been prepared, in accordance with ER 5-1-11, with approval at the appropriate level as the basis for the subsequent work and financial flow.

TABLE B-2.1 (Continued)
NEW STARTS: CONSTRUCTION
(INCLUDING SEPARABLE ELEMENTS, RESUMPTIONS, AND UNSTARTED PROJECTS)
BASIC, PRELIMINARY SELECTION AND PRIORITIZATION CRITERIA

PRELIMINARY SELECTION CRITERIA (Continued)

5. A project management plan (PMP) has been prepared and approved.
6. If a postauthorization change is required, only routine issues are involved which will not require Congressional authorization.
7. No known or reasonably anticipated conditions or unresolved issues exist which might prevent either: (1) award of the first significant construction contract by the end of the PY; or (2) the start of real estate acquisition for the first significant construction contract so that the scheduled construction contract can be awarded no later than the end of the following fiscal year (PY+1) in the absence of the sponsor possessing title to the required lands and easements. Planning, engineering and design work should be far enough along in the PY so that the orderly and continuous progression of construction is assured with the scheduled award of the first construction contract.
8. An Environmental Assessment/Finding of No Significant Impact signed, or final EIS has been filed, or final EIS supplement is scheduled for filing with EPA by 1 August of the PY-2.

TABLE B-2.1 (Continued)
NEW STARTS: CONSTRUCTION
(INCLUDING SEPARABLE ELEMENTS, RESUMPTIONS, AND UNSTARTED PROJECTS)
BASIC, PRELIMINARY SELECTION AND PRIORITIZATION CRITERIA

PRIORITIZATION CRITERIA

| Projects Justified Based on NED Benefits | | | | | | |
|---|---|---|---|---|---|---|
| Project Priority | | | | | | |
| Criteria to be Met | 1 | 2 | 3 | 4 | 5 | 6 |
| Economic Considerations | | | | | | |
| BCR > 1.0 at current discount rate with separable recreation benefits and costs excluded. | X | X | X | | | |
| All other projects. | | | | X | X | X |
| Environmental Considerations 1/ | | | | | | |
| With no adverse impact on environmental resources | X | | | X | | |
| With justified mitigation fully offsetting losses to environmental resources. | | X | | | X | |
| With justified mitigation not fully offsetting losses to environmental resources. | | | X | | | X |

Projects to Mitigate, Restore, or Protect Environmental Resources

Resource Category 2/

| | |
|----------------------------|---|
| Wetlands | X |
| Other ecological resources | X |

Footnotes

1/ Can include activities for restoration or protection as added increments of work.

2/ Priority within each category will be based upon relative productivity using such measures as cost per unit of output, taking into consideration relative significance of output.

TABLE B-2.2
APPLICABLE DISCOUNT RATES IN EFFECT
WHEN INITIAL CONSTRUCTION FUNDS WERE APPROPRIATE

| Fiscal Year | Discount Rate 1/ Show on Justification Sheet | Show on Illustration B-2.1 |
|-------------|--|-------------------------------|
| 1958 | 2 1/2 | 2.500 |
| 1959 | 2 1/2 | 2.500 |
| 1960 | 2 1/2 | 2.500 |
| 1961 | 2 1/2 | 2.500 |
| 1962 | 2 5/8 | 2.625 |
| 1963 | 2 5/8 | 2.625 |
| 1964 | 2 7/8 | 2.875 |
| 1965 | 3 | 3.000 |
| 1966 | 3 1/8 | 3.125 |
| 1967 | 3 1/8 | 3.125 |
| 1968 | 3 1/8 | 3.125 |
| 1969 | 3 1/4 | 3.250 |
| 1970 | 3 1/4 | 3.250 |
| 1971 | 4 7/8 | 4.875 |
| 1972 | 5 1/8 | 5.125 |
| 1973 | 5 3/8 | 5.375 |
| 1974 | 5 1/2 | 5.500 |
| 1975 | 5 5/8 | 5.625 |
| 1976 | 5 7/8 | 5.875 |
| 1977 | 6 1/8 | 6.125 |
| 1978 | 6 3/8 | 6.375 |
| 1979 | 6 5/8 | 6.625 |
| 1980 | 6 7/8 | 6.875 |
| 1981 | 7 1/8 | 7.125 |
| 1982 | 7 3/8 | 7.375 |
| 1983 | 7 5/8 | 7.625 |
| 1984 | 7 7/8 | 7.875 |
| 1985 | 8 1/8 | 8.125 |
| 1986 | 8 3/8 | 8.375 |
| 1987 | 8 5/8 | 8.625 |
| 1988 | 8 7/8 | 8.875 |
| 1989 | 8 5/8 | 8.625 |

1/ Unless the project qualifies for the 3 1/4 percent rate under the "grandfather" clause in Section 80 of the 1974 Water Resources Development Act.

TABLE B-2.2 (Continued)
APPLICABLE DISCOUNT RATES IN EFFECT
WHEN INITIAL CONSTRUCTION FUNDS WERE APPROPRIATE

| Fiscal Year | Discount Rate 1/ Show on Justification Sheet | Show on Illustration B-2.1 |
|-------------|--|-------------------------------|
| 1990 | 8 5/8 | 8.625 |
| 1991 | 8 7/8 | 8.875 |
| 1992 | 8 7/8 | 8.875 |
| 1993 | 8 3/4 | 8.750 |
| 1994 | 8 1/2 | 8.500 |
| 1995 | 8 1/4 | 8.250 |
| 1996 | 8 | 8.000 |
| 1997 | 7 3/4 | 7.750 |
| 1998 | 7 5/8 | 7.625 |
| 1999 | 7 3/8 | 7.375 |
| 2000 | 7 1/8 | 7.125 |
| 2001 | 6 7/8 | 6.875 |
| <u>2002</u> | <u>6 5/8</u> | <u>6.625</u> |

1/ Unless the project qualifies for the 3 1/4 percent rate under the "grandfather" clause in Section 80 of the 1974 Water Resources Development Act.

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| TABLE B-2.3 | | | | | | | | | | | | | |
|--|-----------|----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| FY00 SAVINGS AND SLIPPAGE AND BASELINE LEVEL FY01 THROUGH FY10 PROGRAM CEILING AMOUNTS | | | | | | | | | | | | | |
| CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, HARBOR SERVICES FUND, AND FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES PROJECTS | | | | | | | | | | | | | |
| \$000 | | | | | | | | | | | | | |
| | FY00 | FY00 | | | | | | | | | | | |
| | EST | EST | | | | | | | | | | | |
| DIV | BUD | S&S | ALLOC | FY01 | FY02 | FY03 | FY04 | FY05 | FY06 | FY07 | FY08 | FY09 | FY10 |
| CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, AND HARBOR SERVICES FUND | | | | | | | | | | | | | |
| LR | 139,515 | -20,354 | 119,161 | 165,226 | 179,325 | 276,144 | 363,602 | 391,701 | 431,233 | 449,226 | 478,467 | 372,723 | 372,723 |
| MV | 207,531 | -30,277 | 177,254 | 158,024 | 151,305 | 159,316 | 153,414 | 133,298 | 115,243 | 106,000 | 115,781 | 156,580 | 156,580 |
| NA | 162,025 | -23,638 | 138,387 | 164,110 | 193,926 | 203,060 | 186,981 | 144,348 | 149,494 | 143,200 | 120,407 | 78,392 | 78,392 |
| NW | 178,870 | -26,096 | 152,774 | 203,691 | 214,131 | 187,057 | 175,515 | 168,315 | 157,149 | 109,574 | 53,724 | 54,442 | 54,442 |
| PO | 8,491 | -1,239 | 7,252 | 17,357 | 1,597 | 5,801 | 7,343 | 2,494 | 1,683 | 1,158 | 882 | 645 | 645 |
| SA | 278,653 | -40,653 | 238,000 | 233,002 | 239,199 | 184,724 | 141,103 | 199,811 | 203,200 | 218,433 | 273,452 | 214,821 | 214,821 |
| SP | 180,412 | -26,321 | 154,091 | 92,257 | 79,474 | 70,777 | 64,176 | 50,731 | 42,296 | 38,287 | 41,717 | 34,401 | 34,401 |
| SW | 171,408 | -25,007 | 146,401 | 150,304 | 118,078 | 90,628 | 83,172 | 73,315 | 59,406 | 51,850 | 50,506 | 25,000 | 25,000 |
| XX | 124,784 | -18,205 | 106,579 | 201,701 | 205,172 | 207,751 | 204,784 | 204,817 | 204,784 | 204,766 | 204,924 | 204,725 | 204,725 |
| TOTAL | 1,451,689 | -211,790 | 1,239,899 | 1,385,972 | 1,382,207 | 1,385,258 | 1,380,090 | 1,368,830 | 1,364,488 | 1,322,494 | 1,339,860 | 1,141,729 | 1,141,729 |
| FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES | | | | | | | | | | | | | |
| MV | 176,732 | -12,347 | 164,385 | 168,000 | 168,000 | 168,000 | 170,000 | 173,000 | 168,000 | 168,000 | 162,000 | 166,000 | 166,000 |

TABLE B-2.3
FY00 SAVINGS AND SLIPPAGE AND BASELINE LEVEL FY01 THROUGH FY10 CONTINUING PROGRAM CEILING AMOUNTS
CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, HARBOR MAINTENANCE USER FEE,
AND FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES PROJECTS
\$000

Each Division's total Baseline Level amount for CG, IWTF, and HSF ~~continuing~~ projects must not exceed its assigned ceiling for the PY through PY+4 and these ceiling amounts may not be shifted to subsequent fiscal years to reflect schedule slippages. Ceiling amounts for PY+5 through PY+9 may be exceeded to the extent required to compensate for PY-1 savings and slippage reductions and increases in project costs from PY-1. CECW-B may adjust assigned ceiling amounts subsequent to the initial program submission to reflect Congressional action on the PY-1 appropriations or other special circumstances. Nevertheless, each Division's initial program submission must not exceed its assigned PY through PY+4 ceilings for continuing projects.

The CG, IWTF, and HSF ceiling amounts **include** all PY continuing items covered by subappendix B-2 which were included in the President's PY-1 program; i.e. PY-1 continuing construction projects, major rehabilitation projects, dam safety assurance projects, deficiency correction projects, reconstruction projects, dredged material disposal facility projects, reimbursement projects, resumptions, unstarted projects, and unstarted separable elements. The applicable ceiling amounts assigned to designated high priority projects included in the President's PY-1 program must not be diverted to other continuing projects. If the ceiling cannot be used on a designated high priority project, the excess amount must be reported to CECW-BE so that it can be reallocated to meet Corps wide needs.

The CG and IWTF ceiling amounts **exclude** continuing construction projects, or portions thereof, excluded from the President's PY-1 program by OMB, all PY through PY+9 new starts, including new start construction projects, new major rehabilitation projects, new dam safety assurance projects, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects new reimbursement projects, resumptions, unstarted projects, and unstarted separable elements, and periodic beach nourishment projects not included in the President's PY-1 program.

Division CG and IWTF total program amounts may exceed their CG and IWTF ceilings by the amount for new start activities and continuing projects, or portions thereof, excluded from the President's PY-1 program by OMB, and for and periodic beach nourishment projects not included in the President's PY-1 program. We will adjust each Division's total CG and IWTF ceiling amount after selections are completed for new start and continuing items to be included in the PY submission to OMB.

For MR&T, the ceilings include both new starts and PY-1 continuing items.

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| TABLE B-2.3 | | | | | | | | | | | | | |
|--|-----------|----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| FY01 SAVINGS AND SLIPPAGE AND BASELINE LEVEL FY02 THROUGH FY11 PROGRAM CEILING AMOUNTS | | | | | | | | | | | | | |
| CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, HARBOR SERVICES FUND, AND FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES PROJECTS | | | | | | | | | | | | | |
| \$000 | | | | | | | | | | | | | |
| | FY01 | FY01 | | | | | | | | | | | |
| | EST | EST | | | | | | | | | | | |
| DIV | BUD | S&S | ALLOC | FY02 | FY03 | FY04 | FY05 | FY06 | FY07 | FY08 | FY09 | FY10 | FY11 |
| CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, AND HARBOR SERVICES FUND | | | | | | | | | | | | | |
| LR | 206,916 | -22,763 | 184,153 | 202,526 | 274,585 | 322,277 | 302,088 | 430,875 | 419,623 | 392,690 | 324,530 | 207,839 | 207,839 |
| MV | 221,056 | -24,317 | 196,739 | 176,711 | 162,490 | 171,944 | 156,035 | 212,927 | 223,032 | 233,480 | 247,001 | 191,431 | 191,431 |
| NA | 190,977 | -21,007 | 169,970 | 217,625 | 218,980 | 237,306 | 248,590 | 90,015 | 105,132 | 117,679 | 128,728 | 138,329 | 138,329 |
| NW | 177,198 | -19,492 | 157,706 | 170,038 | 160,680 | 154,771 | 151,300 | 166,917 | 143,104 | 111,422 | 108,318 | 54,302 | 54,302 |
| PO | 16,437 | -1,808 | 14,629 | 5,983 | 5,883 | 7,324 | 5,203 | 2,000 | 1,528 | 1,264 | 967 | 538 | 538 |
| SA | 304,825 | -33,531 | 271,294 | 308,045 | 255,781 | 235,145 | 333,775 | 394,452 | 437,233 | 460,879 | 506,751 | 135,121 | 135,121 |
| SP | 112,447 | -12,369 | 100,078 | 113,816 | 127,412 | 111,123 | 84,339 | 94,328 | 79,519 | 77,922 | 77,850 | 64,605 | 64,605 |
| SW | 131,967 | -14,515 | 117,452 | 86,504 | 82,081 | 68,972 | 57,734 | 67,607 | 73,058 | 89,245 | 86,390 | 73,040 | 73,040 |
| HQ | 149,430 | -15,451 | 133,979 | 214,758 | 227,689 | 244,906 | 244,940 | 166,880 | 186,770 | 227,416 | 276,463 | 315,084 | 315,084 |
| TOTAL | 1,511,253 | -165,235 | 1,346,000 | 1,496,006 | 1,515,581 | 1,553,768 | 1,584,004 | 1,626,001 | 1,668,999 | 1,711,997 | 1,756,996 | 1,180,289 | 1,180,289 |
| FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES | | | | | | | | | | | | | |
| MV | 176,732 | -12,347 | 164,385 | 168,000 | 168,000 | 168,000 | 170,000 | 173,000 | 168,000 | 168,000 | 162,000 | 166,000 | 166,000 |

TABLE B-2.3
FY01 SAVINGS AND SLIPPAGE AND BASELINE LEVEL FY02 THROUGH FY11 CONTINUING PROGRAM CEILING AMOUNTS
CONSTRUCTION, GENERAL, INLAND WATERWAYS TRUST FUND, HARBOR SERVICES FUND,
AND FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES PROJECTS
\$000

Each Division's total Baseline Level amount for CG, IWTF, and HSF **continuing** projects must not exceed its assigned ceiling for the PY through PY+4 and these ceiling amounts may not be shifted to subsequent fiscal years to reflect schedule slippages. Ceiling amounts for PY+5 through PY+9 may be exceeded to the extent required to compensate for PY-1 savings and slippage reductions and increases in project costs from PY-1. CECW-B may adjust assigned ceiling amounts subsequent to the initial program submission to reflect Congressional action on the PY-1 appropriations or other special circumstances. Nevertheless, each Division's initial program submission must not exceed its assigned PY through PY+4 ceilings for continuing projects.

The CG, IWTF, and HSF ceiling amounts **include** all PY continuing items covered by subappendix B-2 which were included in the President's PY-1 program, i.e. PY-1 continuing construction projects, major rehabilitation projects, dam safety assurance projects, deficiency correction projects, reconstruction projects, dredged material disposal facility projects, reimbursement projects, resumptions, unstarted projects, and unstarted separable elements. The applicable ceiling amounts assigned to designated high priority projects included in the President's PY-1 program must not be diverted to other continuing projects. If the ceiling cannot be used on a designated high priority project, the excess amount must be reported to CECW-BE so that it can be reallocated to meet Corps wide needs.

The CG and IWTF ceiling amounts **exclude** continuing construction projects, or portions thereof, excluded from the President's PY-1 program by OMB, all PY through PY+9 new starts, including new start construction projects, new major rehabilitation projects, new dam safety assurance projects, new deficiency correction projects, new reconstruction projects, new dredged material disposal facility projects new reimbursement projects, resumptions, unstarted projects, and unstarted separable elements, and periodic beach nourishment projects not included in the President's PY-1 program.

Division CG and IWTF total program amounts may exceed their CG and IWTF ceilings by the amount for new start activities and continuing projects, or portions thereof, excluded from the President's PY-1 program by OMB, and for and periodic beach nourishment projects not included in the President's PY-1 program. We will adjust each Division's total CG and IWTF ceiling amount after selections are completed for new start and continuing items to be included in the PY submission to OMB.

For MR&T, the ceilings include both new starts and PY-1 continuing items.

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ILLUSTRATION B-2.1
PROJECT DATA SUMMARY
\$000

| DIVISION/DISTRICT | | | PROJECT NAME | | | | | | | | | | | | |
|---|---------------|---------|--|-----|------|----------------------|----|----|-----|----|----|-----|----|----|-------------|
| EROC | APPROPRIATION | | CAT/CLASS/SUBCLASS | | | PWI NO | | | SS1 | | | SS2 | | | |
| STATUS: | STATE | GROUP | GROUP2 | | | FLOODPLAIN CAT | | | | | | | | | |
| -----BENEFIT/COST RATIO DATA----- | | | | | | | | | | | | | | | |
| APPL DISCOUNT RATE | | | TOTAL AVERAGE ANNUAL BENEFITS AT TIME OF NEW START | | | | | | | | | | | | |
| RBRCR AT APPL RATE | | | TOTAL AVERAGE ANNUAL COST AT TIME OF NEW START | | | | | | | | | | | | |
| RBRCR AT CURR RATE | | | TOTAL AVERAGE ANNUAL REMAINING BENEFITS | | | | | | | | | | | | |
| | | | TOTAL AVERAGE ANNUAL REMAINING COST | | | | | | | | | | | | |
| -----DATES----- -----CONGRESSIONAL DISTRICTS----- | | | | | | | | | | | | | | | |
| FY AVAILABLE CONSTR | | | | | | | | | | | | | | | |
| FY NEW CONSTR START | | | | | | | | | | | | | | | |
| PROGRAMMED COMPLETION DATE | | | | | | | | | | | | | | | |
| LAST | | | | | | | | | | | | | | | |
| CURRENT | | | | | | | | | | | | | | | |
| -----CURRENT YEAR FUNDING----- | | | | | | | | | | | | | | | |
| PY-1 PROGRAM | | | | | | | | | | | | | | | |
| PY-1 CONFERENCE | | | | | | | | | | | | | | | |
| PY-1 ASSUMED S&S | | | | | | | | | | | | | | | |
| PY-1 GRH REDUCTION | | | | | | | | | | | | | | | |
| PY-1 OTHER ADJUST | | | | | | | | | | | | | | | |
| PY-1 PED ALLOCATION | | | | | | | | | | | | | | | |
| | | PROJECT | ALLOCATIONS | | RMNG | FUNDING REQUIREMENTS | | | | | | | | | |
| | COST EST | THRU | FOR | PED | | PY | PY | PY | PY | PY | PY | PY | PY | PY | BAL TO COMP |
| FUNDING LEVEL | W/ INFL | PY-2 | PY-1 | BAL | PY | +1 | +2 | +3 | +4 | +5 | +6 | +7 | +8 | +9 | PROG UNPROG |
| BASELINE LEVEL | | | | | | | | | | | | | | | |
| FEDERAL (CORPS) | | | | | | | | | | | | | | | |
| FOR ILLUSTRATION PURPOSES ONLY | | | | | | | | | | | | | | | |
| INLAND WATERWAYS TRUST FUND (IWTF) (ADP output) | | | | | | | | | | | | | | | |

ILLUSTRATION B-2.1 (CONTINUED)
PROJECT DATA SUMMARY (\$000)

NON-FEDERAL

REQ CONTR

OTHER

TOTAL NON-FEDERAL

OTHER FEDERAL AGENCY (OFA)

TOTAL FEDERAL (CORPS), IWTF, NON-FEDERAL, AND OFA

DECREMENT LEVEL (A Decrement Level submission is not be required with the initial program request.)

FEDERAL (CORPS)

CAPABILITY LEVEL

FEDERAL (CORPS)

FOR ILLUSTRATION PURPOSES ONLY
(ADP output)

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ILLUSTRATION B-2.2A
FEDERAL (CORPS) FUNDING REQUIREMENTS SUMMARY - CONSTRUCTION
\$000

| DIVISION/DISTRICT | APPROPRIATION | | | | | | | FUNDING LEVEL | | | | | | | | | | | | | |
|-----------------------------|-----------------------|---------------------|-------------|--------------------|-----------------------|-----------------------|-------------------|---------------|----------|----------|----------|----------|----------|----------|----------|----------|----------------|----------------|--|--|--|
| TOTAL APPN ACTIV REQT | ALLOC THRU PY-2 | PY-1 CONF AMT | PY-1 S&S | PY-1 GRH RED | PY-1 OTHR ADJST | PY-1 WORK ALLOW | RMNG PED PY | PY +1 | PY +2 | PY +3 | PY +4 | PY +5 | PY +6 | PY +7 | PY +8 | PY +9 | BAL TO PROG | COMP UNPROG | | | |
| NAVIGATION | | | | | | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | | | | | | |
| BEACH EROSION CONTROL | | | | | | | | | | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | | | | | | |
| MAJOR REHABILITATION | | | | | | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | | | | | | |
| DAM SAFETY ASSURANCE | | | | | | | | | | | | | | | | | | | | | |
| NAVIGATION | | | | | | | | | | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | | | | | | |

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2B
INLAND WATERWAYS TRUST FUND REQUIREMENTS SUMMARY - CONSTRUCTION
\$000

| DIVISION/DISTRICT | | APPROPRIATION | | | | | | FUNDING LEVEL | | | | | | | | | | |
|----------------------|--|---------------|-------|------|------|-------|----------------------|---------------|----|----|----|----|----|----|----|----|--------|-------------|
| | | TOTAL | ALLOC | PY-1 | PY-1 | PY-1 | FUNDING REQUIREMENTS | | | | | | | | | | | |
| | | APPN | THRU | CONF | PY-1 | OTHR | WORK | PY | PY | PY | PY | PY | PY | PY | PY | PY | BAL TO | COMP |
| ACTIV | | REQT | PY-2 | AMT | S&S | ADJST | ALLOW | PY | +1 | +2 | +3 | +4 | +5 | +6 | +7 | +8 | +9 | PROG UNPROG |
| NAVIGATION | | | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | | | |
| MAJOR REHABILITATION | | | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | | | |

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

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ILLUSTRATION B-2.2C
OTHER FEDERAL AGENCY FUNDING SUMMARY - CONSTRUCTION
\$000

| DIVISION/DISTRICT | APPROPRIATION | | | | | | | FUNDING LEVEL | | | | | | | | | | | | |
|------------------------|---------------|-------|------|------|-------|-------|----|----------------------|----|----|----|----|----|----|----|----|--------|--------|--|--|
| | TOTAL | ALLOC | PY-1 | | PY-1 | PY-1 | | FUNDING REQUIREMENTS | | | | | | | | | | | | |
| | APPN | THRU | CONF | PY-1 | OTHR | WORK | PY | PY | PY | PY | PY | PY | PY | PY | PY | PY | BAL TO | COMP | | |
| ACTIV | REQT | PY-2 | AMT | S&S | ADJST | ALLOW | PY | +1 | +2 | +3 | +4 | +5 | +6 | +7 | +8 | +9 | PROG | UNPROG | | |
| NAVIGATION | | | | | | | | | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | | | | | |

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

ILLUSTRATION B-2.2D
NON-FEDERAL CASH CONTRIBUTIONS AND OTHER COSTS SUMMARY - CONSTRUCTION
\$000

| DIVISION/DISTRICT | APPROPRIATION | | | | FUNDING LEVEL | | | | | | | | | | | |
|------------------------|---------------|--------------|---------------|------------|---------------------------|----------|----------|----------|----------|----------|----------|----------|----------|----------|-------------|-------------------|
| | TOTAL | ALLOC | RMNG | | CONTRIBUTION REQUIREMENTS | | | | | | | | | | | |
| | REQT | THRU PY-2 | PY-1 ALLOC | PED BAL | PY | PY +1 | PY +2 | PY +3 | PY +4 | PY +5 | PY +6 | PY +7 | PY +8 | PY +9 | BAL PROG | TO COMP UNPROG |
| ACTIV | | | | | | | | | | | | | | | | |
| NAVIGATION | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | |
| BEACH EROSION CONTROL | | | | | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | |
| MAJOR REHABILITATION | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | |
| DAM SAFETY ASSURANCE | | | | | | | | | | | | | | | | |
| NAVIGATION | | | | | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | |

FOR ILLUSTRATION PURPOSES ONLY
(ADP output summary)

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ILLUSTRATION B-2.2E
HARBOR SERVICES FUND REQUIREMENTS SUMMARY - CONSTRUCTION
\$000

| DIVISION/DISTRICT | | APPROPRIATION | | | | | | FUNDING LEVEL | | | | | | | | | | |
|----------------------|--|---------------|-------|------|------|-------|-------|----------------------|----|----|----|----|----|----|----|----|-----|-------------|
| | | TOTAL | ALLOC | PY-1 | | PY-1 | PY-1 | FUNDING REQUIREMENTS | | | | | | | | | | |
| | | APPN | THRU | CONF | PY-1 | OTHR | WORK | PY | PY | PY | PY | PY | PY | PY | PY | PY | BAL | TO COMP |
| ACTIV | | REQT | PY-2 | AMT | S&S | ADJST | ALLOW | PY | +1 | +2 | +3 | +4 | +5 | +6 | +7 | +8 | +9 | PROG UNPROG |
| NAVIGATION | | | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | | | |
| MAJOR REHABILITATION | | | | | | | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | | | |

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ILLUSTRATION B-2.3
COMPLETIONS SUMMARY - CONSTRUCTION

| DIVISION/DISTRICT | APPROPRIATION | | | | | | | | | | FUNDING LEVEL | |
|------------------------|---------------|------|------|------|------|------|------|------|------|------|---------------------|--------|
| | PY | PY+1 | PY+2 | PY+3 | PY+4 | PY+5 | PY+6 | PY+7 | PY+8 | PY+9 | BAL TO COMP PROG | UNPROG |
| ACTIV | | | | | | | | | | | | |
| NAVIGATION | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | |
| BEACH EROSION CONTROL | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | |
| MAJOR REHABILITATION | | | | | | | | | | | | |
| CHANNELS AND HARBORS | | | | | | | | | | | | |
| LOCKS AND DAMS | | | | | | | | | | | | |
| LOCAL PROTECTION | | | | | | | | | | | | |
| RESERVOIRS | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | |
| DAM SAFETY ASSURANCE | | | | | | | | | | | | |
| NAVIGATION | | | | | | | | | | | | |
| FLOOD CONTROL | | | | | | | | | | | | |
| MULTIPLE PURPOSE POWER | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | |

FOR ILLUSTRATION PURPOSES ONLY
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ILLUSTRATION B-2.4, PY JUSTIFICATION SHEET
(NOTE: DO NOT TYPE ILLUSTRATION HEADING ON JUSTIFICATION SHEET)

APPROPRIATION TITLE: Construction, General - Enter the project classification and type.

PROJECT: Enter the project name, state and whether it is new or continuing.

LOCATION: Enter a brief description of the project location, clearly identifying major landmarks, counties, and municipalities in the project vicinity.

DESCRIPTION: Enter a brief description of the plan of improvement clearly identifying major project features and differentiating between programmed and unprogrammed work. Indicate if project is part of a system. For reservoir projects, include breakdown of storage by function. Differentiate between programmed and unprogrammed work.

AUTHORIZATION: Enter the act authorizing the project, such as: Water Resources Development Act of 19xx.

REMAINING BENEFIT-REMAINING COST RATIO: Enter the RBRCR for the project at the applicable discount rate, such as: 2.6 to 1 at 5 1/8 percent. Use the applicable rate discount from Table B-2.2. If the project is substantially complete and the RBRCR is no longer meaningful, enter: Not applicable because project construction is substantially complete. For beach erosion control projects where the initial fill has been completed and only periodic nourishment remains to be accomplished, enter: Not applicable because initial construction has been completed.

TOTAL BENEFIT-COST RATIO: Enter the total benefit-cost ratio for the project at the applicable discount rate, such as: 1.8 to 1 at 5 1/8 percent. Use the applicable discount rate from Table B-2.2

INITIAL BENEFIT-COST RATIO: Enter the benefit-cost ratio at the applicable discount rate and the fiscal year for which Congress appropriated initial construction funds such as: 1.11 to 1 at 5 1/8 percent (FY 19xx). Omit this item for PY new construction starts. Use the applicable discount rate from Table -2.2

ILLUSTRATION B-2.4 (Continued)

BASIS OF BENEFIT-COST RATIO: Indicate the basis of the benefit-cost ratios, such as: Benefits are from the latest available evaluation approved in (month) 19xx at 19xx price levels.

| SUMMARIZED FINANCIAL DATA | | | ACCUM PCT OF EST FED COST | STATUS (1 Jan 19xx) | PCT CMPL | PHYSICAL COMPLETION SCHEDULE |
|---|------------|--|---------------------------------|---|-------------|------------------------------------|
| (For projects with an unprogrammed balance to complete, but no future non-Federal reimbursement.) | | | | Element A | xx | May 19xx |
| | | | | Element B | 0 | Indefinite |
| | | | | (For shore protection projects) | | |
| Estimated Federal Cost | | | xx,xxx,xxx | Initial Construction | xx | Sep 19xx |
| Programmed Construction | xx,xxx,xxx | | | Periodic Nourishment | xx | Jun 19xx |
| Unprogrammed Construction | xx,xxx,xxx | | | Entire Project | xx | Jun 19xx 2/ |
| Estimated Non-Federal Cost | | | xx,xxx,xxx | PHYSICAL DATA | | |
| Programmed Construction | xx,xxx,xxx | | | Under appropriate subheadings, enter the significant physical data on the major project facilities, indicating the project scope. | | |
| Cash Contributions | xx,xxx,xxx | | | | | |
| Other Costs | xx,xxx,xxx | | | | | |
| Estimated Non-Federal Cost | | | | | | |
| Unprogrammed Construction | xx,xxx,xxx | | | | | |
| Cash Contributions | xx,xxx,xxx | | | | | |
| Other Costs | xx,xxx,xxx | | | | | |
| Total Estimated Programmed Construction Cost | | | xx,xxx,xxx | | | |
| Total Estimated Unprogrammed Construction Cost | | | xx,xxx,xxx | | | |
| Total Estimated Project Cost | | | xx,xxx,xxx | | | |

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ILLUSTRATION B-2.4 (Continued)

| SUMMARIZED FINANCIAL DATA (Continued) | ACCUM PCT OF EST FED COST | STATUS (1 Jan 19xx) | PCT CMPL | PHYSICAL COMPLETION SCHEDULE |
|---|---------------------------------|------------------------|-------------|------------------------------------|
| Allocations to 30 September PY-2 | xx,xxx,xxx | | | |
| Conference Allowance for PY-1 | xx,xxx,xxx | | | |
| Allocation for PY-1 | xx,xxx,xxx | 1/ | | |
| Allocations through PY-1 | xx,xxx,xxx | xx | | |
| Allocation Requested for PY | xx,xxx,xxx | xx | | |
| Programmed Balance to Complete after PY | xx,xxx,xxx | | | |
| Unprogrammed Balance to Complete after PY | xx,xxx,xxx | | | |

1/ Reflects \$xxx reduction assigned as savings and slippage, \$xxx sequestered in accordance with the Gramm-Rudman-Hollings Act, and \$xxx reprogrammed to (from) the project. (Use example as applicable).

2/ For programmed work only; remaining work is unprogrammed pending a decision to construct these features.

JUSTIFICATION: Enter an explicit and factually objective presentation of the merits of the project, i. e., an answer to the question: "Why now?" In narrative form, present your best case. The following information, when related to recent events or the current state of the economy, is more convincing than a simple recitation of facts.)

For flood control projects, state the present value and type of property subject to flood damage; the average annual damages, with and without the project; the flood frequency against which protection is to be provided; the maximum flood of record; the damage sustained at that time and what it would be now; the frequency and duration of flooding; recent flood experience; and any other data which indicate the magnitude

ILLUSTRATION B-2.4 (Continued)

and severity of the flood problem and the need for protection. If more than 20 percent of urban flood damage prevention benefits are future benefits, explain the basis for such future benefits. In particular, estimated benefits for prevention of damages to household contents must be in accordance with the most recent CECW-P guidance. Does project directly or indirectly support future flood plain development in areas other than those near already urbanized areas or where flood plain values have been largely lost? Does it avoid, to the extent possible, the long and short term adverse impacts associated with the destruction or modification of wetlands and/or other environmental attributes?

For commercial navigation projects, discuss major commodities imported and exported; average commerce tonnage over the most recent 10-year period; savings per ton for selected commodities; availability of dredged material disposal sites; and size of ships expected to call at the port in the future.

For water supply or hydroelectric power generation projects, specify the storage provided, and the potential sponsor(s) who has agreed to fully finance the applicable costs.

Similar specific data should be provided for other types of projects and purposes.

Identify those counties, districts, Indian reservations, or other areas which qualify as areas of "substantial and persistent" unemployment using the procedures in the Principles and Guidelines. The construction activities must be physically located in such areas in order for the benefits from employment of previously unemployed labor resources to be included in the project's justification.

Discuss the extent to which project beneficiaries have made investments other than the required items of local cooperation whose return is contingent upon completion of the Federal project.

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ILLUSTRATION B-2.4 (Continued)

Include a tabular listing of annual benefits as the final item of the justification paragraph if there is more than one applicable benefit category, such as: Average annual benefits are as follows:

| Annual Benefits | Amount |
|-----------------|------------|
| Benefit 1 | x,xxx,xxx |
| Benefit 2 | x,xxx,xxx |
| Benefit 3 | x,xxx,xxx |
| Total | xx,xxx,xxx |

FISCAL YEAR PY: Enter a tabular explanation of how the PY funds will be used, such as: The requested amount will be applied as follows:

| | |
|--|--------------|
| Initiate | \$x,xxx,xxx |
| Initiate and complete | x,xxx,xxx |
| Continue | x,xxx,xxx |
| Complete | x,xxx,xxx |
| Planning, Engineering, and Design for parent project | x,xxx,xxx |
| Planning, Engineering, and Design for Element A | x,xxx,xxx |
| Planning, Engineering, and Design for Element B | x,xxx,xxx |
| Construction Management | x,xxx,xxx |
| Total | \$xx,xxx,xxx |

NON-FEDERAL COST: Enter a separate tabular explanation of the requirements of local cooperation included in each project cooperation agreement applicable to the project together with the associated payments during construction, reimbursements, and annual operation, maintenance, repair, rehabilitation, and replacement costs, such as: In accordance with the cost sharing and financing concepts reflected in the Water Resources Development Act of 1986, the non-Federal sponsor must comply with the requirements listed below.

ILLUSTRATION B-2.4 (Continued)

| Requirements of Local Cooperation | Payments During Construction and Reimbursements | Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs |
|--|---|---|
| Separable Element A (Repeat as applicable for each separable element). | | |
| Provide lands, easements, rights of way, and borrow and excavated or dredged material disposal areas (as applicable), (add if appropriate) which may be reduced for credit allowed based on prior work (Section 104 of the Water Resources Development Act of 1986 or Section 215 of the Flood Control Act of 1968) after reductions for such credit have been made in the required cash payments. | x,xxx,xxx | |
| Modify or relocate utilities, roads, bridges (except railroad bridges), and other facilities, where necessary for the construction of the project. | x,xxx,xxx | |
| Pay all costs allocated to hydropower and bear all costs of operation, maintenance, repair, rehabilitation and replacement of hydropower facilities. | x,xxx,xxx | x,xxx |

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ILLUSTRATION B-2.4 (Continued)

| | Payments During Construction and Reimbursements | Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs |
|--|---|---|
| Requirements of Local Cooperation (Continued) | | |
| Pay all costs allocated to municipal and industrial water supply and bear all costs of operation, maintenance, repair, rehabilitation and replacement of municipal and industrial water supply facilities. | x,xxx,xxx | x,xxx |
| Pay one-half of the separable costs allocated to recreation (except recreational navigation) and bear all costs of operation, maintenance, repair, rehabilitation and replacement of recreation facilities. | x,xxx,xxx | x,xxx |
| Pay one-half of the separable and joint costs allocated to recreational navigation and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of recreational navigation facilities. | x,xxx,xxx | x,xxx |
| Pay xx percent of the costs allocated to flood control to bring the total non-Federal share of flood control costs to (include one of the following) 25 percent, 35 percent, or xx percent, as determined under Section 103 (m) of the Water Resources Development Act of 1986 (add if appropriate) to reflect the | x,xxx,xxx | x,xxx |

ILLUSTRATION B-2.4 (Continued)

| Requirements of Local Cooperation (Continued) | Payments During Construction and Reimbursements | Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs |
|--|---|---|
| <p>non-Federal sponsor's ability to pay as reduced for credit allowed based on prior work (Section 104 of the Water Resources Development Act of 1986 or Section 215 of the Flood Control Act of 1968), or pay 5 percent of the costs allocated to flood control (if the non-Federal share of flood control costs is 25 percent or 35 percent (as applicable) or greater), and bear all costs of operation, maintenance, repair, rehabilitation and replacement of flood control facilities.</p> | x,xxx,xxx | x,xxx |
| <p>Pay xx percent of the costs allocated to fish and wildlife enhancement, and pay xx percent of the costs of operation, maintenance, repair, rehabilitation, and replacement of fish and wildlife facilities.</p> | x,xxx,xxx | x,xxx |
| <p>Pay 35 percent of the costs allocated to hurricane and storm damage reduction, and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of hurricane and storm damage reduction facilities.</p> | | |

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ILLUSTRATION B-2.4 (Continued)

| Requirements of Local Cooperation (Continued) | Payments During Construction and Reimbursements | Annual Operation, Maintenance, Repair, Rehabilitation, and Replacement Costs |
|---|---|---|
| Pay (include one of the following) 35 percent or xx percent, as determined under Section 103 (m) of the Water Resources Development Act of 1986 to reflect the non-Federal sponsor's ability to pay, of the costs allocated to agricultural water supply, and bear all costs of operation, maintenance, repair, rehabilitation, and replacement of agricultural water supply facilities. | x,xxx,xxx | x,xxx |
| Pay xx percent of the costs allocated to general navigation facilities during construction and pay 50 percent of the costs of incremental maintenance below 45 feet below mean low water. | x,xxx,xxx | x,xxx |
| Reimburse an additional 10 percent of the costs of general navigation features allocated to commercial navigation within a period of 30 years following completion of construction, as partially (entirely) reduced by a credit allowed for the value of lands, easements, rights of way, relocations , and dredged or excavated material disposal areas as applicable) provided for commercial navigation. | x,xxx,xxx | |
| Total Non-Federal Costs | x,xxx,xxx | x,xxx |

ILLUSTRATION B-2.4 (Continued)

The non-Federal sponsor has also agreed to make all required payments concurrently with project construction and reimburse its share of construction costs within a period of 30 years following completion of construction (Use example as applicable).

Note: After approval by the ASA(CW), local credit based on ability to pay (Section 103 (m) of the Water Resources Development Act of 1986) or general credit for prior work (Section 104 of the Water Resources Development Act of 1986 or Section 215 of the Flood Control Act of 1968) must be reflected in the requirements of local cooperation as an offset to required cash contributions or, if necessary, LERRD contributions. However, any credit provided under Section 104 of the Water Resources Development Act of 1986 or Section 215 of the Flood Control Act of 1968 may not be used to offset the required 5 percent cash contribution.

STATUS OF LOCAL COOPERATION: Identify the non-Federal sponsor, the current status of assurances, the current status of the PCA, actions being taken by the non-Federal sponsor toward compliance with the requirements of local cooperation, contributions made, bond issues passed, or other specific items. If known, state the method by which the non-Federal sponsor intends to provide its share of the project first costs (cash and other items of local cooperation) and annual O&M costs. List all potential sources of funds (together with dollar amounts, if known) to meet local cooperation requirements, including any anticipated Federal funds for which the Federal granting agency has indicated in writing that the use of such funds for items of local cooperation is authorized. List and describe any local work or investments that have already been made or are underway which would serve to fulfill all or part of the local cooperation requirements (including work accomplished pursuant to Section 215 of the 1968 Flood Control Act or creditable under Section 104 of the 1986 Water Resources Development Act.)

In the event a PCA has not been executed by the ASA(CW), provide the scheduled month and year when the PCA is scheduled to be executed.

For projects with future non-Federal reimbursement, indicate the specific conditions which govern the initiation of non-Federal reimbursement payments and the scheduled date such reimbursement payments are scheduled to begin.

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ILLUSTRATION B-2.4 (Continued)

For each project with an executed PCA, compare the approved non-Federal cost estimate in the PCA with the current non-Federal cost estimate and provide an assessment of the non-Federal sponsor's financial capability to contribute toward any increased costs and an indication of the sponsor's willingness to share in any increased costs, such as: The current non-Federal cost estimate of \$8,000,000, which includes a cash contribution of \$3,000,000, is an increase of \$1,000,000 from the non-Federal cost estimate of \$7,000,000 noted in the Project Cooperation Agreement, which included a cash contribution of \$2,500,000. In a letter dated 3 March 19xx, the non-Federal sponsor indicated that it is financially capable and willing to contribute the increased non-Federal share. Our analysis of the non-Federal sponsor's financial capability to participate in the project affirms that the sponsor has a reasonable and implementable plan for meeting its financial commitment.

COMPARISON OF FEDERAL COST ESTIMATES: Enter a tabular explanation of the changes in the Federal (Corps) cost estimate from the last estimate presented to Congress to the current estimate, such as: The current Federal cost estimate of \$xxx,xxx,xxx is an increase (decrease) of \$xx,xxx,xxx from the latest estimate (\$xxx,xxx,xxx) presented to Congress (FY 19xx). This change includes the following items.

| Item | Amount |
|---|-------------|
| Price Escalation on Construction Features | \$x,xxx,xxx |
| Design Changes | x,xxx,xxx |
| Additional Functions Added under General Authority | x,xxx,xxx |
| Authorized Modifications | x,xxx,xxx |
| Post Contract Award and Other Estimating Adjustments (including contingency adjustments) | x,xxx,xxx |
| Schedule Changes | x,xxx,xxx |
| Price Escalation on Real Estate | x,xxx,xxx |
| Total | \$x,xxx,xxx |

ILLUSTRATION B-2.4 (Continued)

STATUS OF ENVIRONMENTAL IMPACT STATEMENT: Indicate the status of the environmental impact statement, such as: The final EIS was filed with EPA on 28 September 19xx.

OTHER INFORMATION: Indicate when funds were appropriated to initiate preconstruction engineering and design and construction, respectively, such as: Funds to initiate preconstruction engineering and design were appropriated in FY 19xx and funds to initiate construction were appropriated in FY 19xx. If the scheduled completion date for programmed work has changed from the date last presented to Congress, explain the changes, such as: The scheduled completion date of June 19xx for programmed work is a (slippage or acceleration) from the latest completion date of March 19xx presented to Congress. This change is due to Also, note any problems that should be considered by the Committees which might affect the progress schedule shown in your program request, as well as your expectations for and timing of a resolution of the problems. Fish and Wildlife Mitigation costs should also be separately identified and reflected in this paragraph.

Separable Element A (Repeat as necessary for each programmed separable element.)

SUMMARIZED FINANCIAL DATA: For ongoing projects with programmed separable elements, provide a breakdown of the summarized financial data for each programmed separable element in the same format as displayed for the parent project, except that the allocations and conference allowance information is not required.

REMAINING BENEFIT-REMAINING COST RATIO: Enter the RBRCR for each programmed separable element at the applicable discount rate, such as: 2.6 to 1 at 5 1/8 percent. Use the applicable rate discount from Table B-2.2. If the element is substantially complete and the RBRCR is no longer meaningful, enter: Not applicable because construction is substantially complete.

TOTAL BENEFIT-COST RATIO: Enter the total benefit-cost ratio for each programmed separable element at the applicable discount rate, such as: 1.8 to 1 at 5 1/8 percent. Use the applicable discount rate from Table B-2.2

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ILLUSTRATION B-2.4 (Continued)

Note: The justification sheets must be typed on standard size paper, 8 1/2 inches by 11 inches, as left justified Word97 or earlier version documents at 6 lines per inch (.167 inch line height) using a landscape 10 point font (12 characters per inch); Courier or ~~Prestige Elite~~ Arial are the preferred typefaces. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides, and 1 inch margins on the top and bottom. The appropriation title and project classification must be typed as the first line in the body and the Division, District, and project name must be typed in the 1 inch bottom margin. Do not underline any headings. The June submission must be submitted by email as a Word97 or earlier version document. See paragraph 11.b.(2).(a). of the main EC for specific instructions concerning conversion of your justification sheets to an Adobe Acrobat 4.0 file for transmission of the Congressional submission to HQ.

ILLUSTRATION B-2.4 (Continued)

Additional Examples of Summarized Financial Data

For projects with no unprogrammed balance to complete, and no future non-Federal reimbursement.

| | |
|------------------------------|------------|
| Estimated Federal Cost | xx,xxx,xxx |
| Estimated Non-Federal Cost | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx |
| Other Costs | xx,xxx,xxx |
| Total Estimated Project Cost | xx,xxx,xxx |

For projects with both an unprogrammed balance to complete and future non-Federal reimbursement.

| | |
|---|------------|
| Estimated Total Appropriation Requirement | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx |
| Unprogrammed Construction | xx,xxx,xxx |
| Future Non-Federal Reimbursement | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx |
| Unprogrammed Construction | xx,xxx,xxx |
| Estimated Federal Cost (Ultimate) | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx |
| Unprogrammed Construction | xx,xxx,xxx |

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ILLUSTRATION B-2.4 (Continued)

For projects with both an unprogrammed balance to complete and future non-Federal reimbursement (continued).

| | | |
|--|------------|------------|
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Cash Contributions | xxx,xxx | |
| Other Costs | xxx,xxx | |
| Reimbursements | xxx,xxx | |
| Purpose 1 | xxx,xxx | |
| Purpose 2 | xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Cash Contributions | xxx,xxx | |
| Other Costs | xxx,xxx | |
| Reimbursements | xxx,xxx | |
| Purpose 1 | xxx,xxx | |
| Purpose 2 | xxx,xxx | |
| Total Estimated Programmed Construction Cost | | xx,xxx,xxx |
| Total Estimated Unprogrammed Construction Cost | | xx,xxx,xxx |
| Total Estimated Project Cost | | xx,xxx,xxx |

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement.

| | |
|---|------------|
| Estimated Total Appropriation Requirement | xx,xxx,xxx |
| Future Non-Federal Reimbursement | xx,xxx,xxx |
| Estimated Federal Cost (Ultimate) | xx,xxx,xxx |

ILLUSTRATION B-2.4 (Continued)

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement (continued).

| | | |
|------------------------------|------------|------------|
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Reimbursements | xx,xxx,xxx | |
| Purpose 1 | xx,xxx,xxx | |
| Purpose 2 | xx,xxx,xxx | |
| Total Estimated Project Cost | | xx,xxx,xxx |

For projects with an unprogrammed balance to complete, future non-Federal reimbursement, and where an additional Federal agency is involved.

| | | |
|---|------------|------------|
| Estimated Appropriation Requirement (CoE) | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Appropriation Requirement (OFA) | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Total Appropriation Requirement | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |

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ILLUSTRATION B-2.4 (Continued)

For projects with an unprogrammed balance to complete, future non-Federal reimbursement, and where an additional Federal agency is involved (continued).

| | | |
|--|------------|------------|
| Future Non-Federal Reimbursement | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Federal Cost (Ultimate) (CoE) | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Programmed Constructions | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Reimbursements | xx,xxx,xxx | |
| Purpose 1 | xx,xxx,xxx | |
| Purpose 2 | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Reimbursements | xx,xxx,xxx | |
| Purpose 1 | xx,xxx,xxx | |
| Purpose 2 | xx,xxx,xxx | |
| Total Estimated Programmed Construction Cost | | xx,xxx,xxx |
| Total Estimated Unprogrammed Construction Cost | | xx,xxx,xxx |
| Total Estimated Project Cost | | xx,xxx,xxx |

ILLUSTRATION B-2.4 (Continued)

For projects with no unprogrammed balance to complete, but with future non-Federal reimbursement and where an additional Federal agency is involved.

| | |
|---|------------|
| Estimated Appropriation Requirement (CoE) | xx,xxx,xxx |
| Estimated Appropriation Requirement (OFA) | xx,xxx,xxx |
| Estimated Total Appropriation Requirement | xx,xxx,xxx |
| Future Non-Federal Reimbursement | xx,xxx,xxx |
| Estimated Federal Cost (Ultimate) | xx,xxx,xxx |
| Estimated Non-Federal Cost | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx |
| Other Costs | xx,xxx,xxx |
| Reimbursements | xx,xxx,xxx |
| Purpose 1 | xx,xxx,xxx |
| Purpose 2 | xx,xxx,xxx |
| Total Estimated Project Cost | xx,xxx,xxx |

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ILLUSTRATION B-2.4 (Continued)

The funding status for projects authorized to use funds appropriated from the Inland Waterways Trust Fund will be displayed as shown below.

| | GENERAL APPNS. | INLAND WATERWAYS TRUST FUNDS | ACCUM. PCT. OF EST. FED. COST |
|---|-------------------|------------------------------------|-------------------------------------|
| Allocations to 30 September PY-2 | xx,xxx,xxx | xx,xxx,xxx | |
| Conference Allowance for PY-1 | xx,xxx,xxx | xx,xxx,xxx | |
| Allocation for PY-1 | xx,xxx,xxx 1/ | xx,xxx,xxx 1/ | |
| Allocations through PY-1 | xx,xxx,xxx | xx,xxx,xxx | xx |
| Allocation Requested for PY | xx,xxx,xxx | xx,xxx,xxx | xx |
| Programmed Balance to Complete after PY | xx,xxx,xxx | xx,xxx,xxx | |
| Unprogrammed Balance to Complete after PY | xx,xxx,xxx | xx,xxx,xxx | |

1/ Reflects \$xxx reduction assigned as savings and slippage, \$xxx sequestered in accordance with the Gramm-Rudman-Hollings Act, and \$xxx reprogrammed to (from) the project. (Use example as applicable).

ILLUSTRATION B-2.4 (Continued)

The funding status for projects authorized to use funds appropriated from the Harbor ~~Maintenance Trust~~ Services Fund will be displayed as shown below.

| | GENERAL APPNS. | HARBOR MAINTENANCE TRUST FUNDS | ACCUM. PCT. OF EST. FED. COST |
|---|-------------------|--------------------------------------|-------------------------------------|
| Allocations to 30 September PY-2 | xx,xxx,xxx | xx,xxx,xxx | |
| Conference Allowance for PY-1 | xx,xxx,xxx | xx,xxx,xxx | |
| Allocation for PY-1 | xx,xxx,xxx 1/ | xx,xxx,xxx 1/ | |
| Allocations through PY-1 | xx,xxx,xxx | xx,xxx,xxx | xx |
| Allocation Requested for PY | xx,xxx,xxx | xx,xxx,xxx | xx |
| Programmed Balance to Complete after PY | xx,xxx,xxx | xx,xxx,xxx | |
| Unprogrammed Balance to Complete after PY | xx,xxx,xxx | xx,xxx,xxx | |

1/ Reflects \$xxx reduction assigned as savings and slippage, \$xxx sequestered in accordance with the Gramm-Rudman-Hollings Act, and \$xxx reprogrammed to (from) the project. (Use example as applicable).

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ILLUSTRATION B-2.4 (Continued)

For deficiency correction projects and modifications to existing projects with no unprogrammed balance to complete and no future non-Federal reimbursement.

Original Project

| | | |
|-----------------------------|------------|------------|
| Actual Federal Cost | | xx,xxx,xxx |
| Actual Non-Federal Cost | | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Original Project Cost | | xx,xxx,xxx |

Remedial Work or Project Modification

| | | |
|---|------------|------------|
| Estimated Federal Cost | | xx,xxx,xxx |
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Estimated Remedial or Modification Cost | | xx,xxx,xxx |
| Total Estimated Project Cost | | xx,xxx,xxx |

ILLUSTRATION B-2.4 (Continued)

For deficiency correction projects and modifications to existing projects with no unprogrammed balance to complete but with future non-Federal reimbursement.

Original Project

| | | |
|-----------------------------|------------|------------|
| Actual Federal Cost | | xx,xxx,xxx |
| Actual Non-Federal Cost | | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Original Project Cost | | xx,xxx,xxx |

Remedial Work or Project Modification

| | | |
|---|------------|------------|
| Estimated Total Appropriation Requirement | | xx,xxx,xxx |
| Future Non-Federal Reimbursement | | xx,xxx,xxx |
| Estimated Federal Cost (Ultimate) | | xx,xxx,xxx |
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Reimbursements | xx,xxx,xxx | |
| Purpose 1 | xx,xxx,xxx | |
| Purpose 2 | xx,xxx,xxx | |
| Total Estimated Project Cost | | xx,xxx,xxx |

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ILLUSTRATION B-2.4 (Continued)

For projects with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved.

| | | |
|--|------------|------------|
| Estimated Federal Cost (CoE) | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Federal Cost (OFA) | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Programmed Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Unprogrammed Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Estimated Programmed Construction Cost | | xx,xxx,xxx |
| Total Estimated Unprogrammed Construction Cost | | xx,xxx,xxx |
| Total Estimated Project Cost | | xx,xxx,xxx |

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with no unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is not involved.

| | | |
|------------------------------|------------|------------|
| Estimated Federal Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Estimated Non-Federal Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Estimated Project Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |

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ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is involved.

| | | | |
|----------------------------|------------|------------|------------|
| Estimated Federal Cost | | | xx,xxx,xxx |
| Programmed Construction | | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Unprogrammed Construction | | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Estimated Non-Federal Cost | | | xx,xxx,xxx |
| Programmed Construction | | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | | |
| Cash Contributions | xx,xxx,xxx | | |
| Other Costs | xx,xxx,xxx | | |
| Periodic Nourishment | | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | | |
| Other Costs | xx,xxx,xxx | | |

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where no additional Federal agency is involved (continued).

| | | |
|--|------------|------------|
| Estimated Non-Federal Cost | | |
| Unprogrammed Construction | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Estimated Programmed Construction Cost | | xx,xxx,xxx |
| Initial Construction | | xx,xxx,xxx |
| Periodic Nourishment | | xx,xxx,xxx |
| Total Estimated Unprogrammed Construction Cost | | xx,xxx,xxx |
| Initial Construction | | xx,xxx,xxx |
| Periodic Nourishment | | xx,xxx,xxx |
| Total Estimated Project Cost | | xx,xxx,xxx |
| Initial Construction | | xx,xxx,xxx |
| Periodic Nourishment | | xx,xxx,xxx |

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ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved.

| | | | |
|------------------------------|------------|------------|------------|
| Estimated Federal Cost (CoE) | | | xx,xxx,xxx |
| Programmed Construction | | xx,xxx,xxx | |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Unprogrammed Construction | | xx,xxx,xxx | |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Estimated Federal Cost (OFA) | | | xx,xxx,xxx |
| Programmed Construction | | xx,xxx,xxx | |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Unprogrammed Construction | | xx,xxx,xxx | |
| Initial Construction | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Estimated Non-Federal Cost | | | xx,xxx,xxx |
| Programmed Construction | | xx,xxx,xxx | |
| Initial Construction | xx,xxx,xxx | | |
| Cash Contributions | xx,xxx,xxx | | |
| Other Costs | xx,xxx,xxx | | |
| Periodic Nourishment | xx,xxx,xxx | | |
| Cash Contributions | xx,xxx,xxx | | |
| Other Costs | xx,xxx,xxx | | |

ILLUSTRATION B-2.4 (Continued)

For projects which include beach nourishment with an unprogrammed balance to complete, no future non-Federal reimbursement, and where an additional Federal agency is involved. (continued)

| | | |
|--|------------|------------|
| Estimated Non-Federal Cost | | |
| Unprogrammed Construction | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Cash Contributions | xx,xxx,xxx | |
| Other Costs | xx,xxx,xxx | |
| Total Estimated Programmed Construction Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Total Estimated Unprogrammed Construction Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |
| Total Estimated Project Cost | | xx,xxx,xxx |
| Initial Construction | xx,xxx,xxx | |
| Periodic Nourishment | xx,xxx,xxx | |

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ILLUSTRATION B-2.6
PY PROPOSED NEW MAJOR REHABILITATION AND OTHER NEW WORK SUMMARY

Division:

| Category and Proj or Elem Names | Total Proj Elem Cost \$000 | Total Fed Appn Rqmt \$000 | Total IWTF Appn Rqmt \$000 | Total HSF Appn Rqmt \$000 | Total Non-Fed Cost \$000 | RBRCR at Appl Rate 1/ | Type Type of Rpt and Status 2/ | Addl Cong Auth Reqd Y/N 3/ | Sched PCA Exec Date Mo/Yr 4/ | First Const Ct Awd Date Mo/Yr 4/ | PY Divn Rcmd \$000 |
|--|--|---------------------------------------|--|---------------------------------------|-----------------------------------|--------------------------------|---|--|--|--|-----------------------------|
|--|--|---------------------------------------|--|---------------------------------------|-----------------------------------|--------------------------------|---|--|--|--|-----------------------------|

New major rehabilitation projects
~~New Dam Safety Assurance Projects~~
New Deficiency Correction Projects
New Reconstruction Projects
New Dredged Material Disposal Facility Projects
Resumptions
Unstarted Projects
Unstarted Separable Elements
Additional Recreation Facilities

1/ Show the RBRCR at the applicable rate. Not applicable to deficiency correction projects.

2/ Indicate the type of report (Recon, EDR, Reeval) on which the Division request is based and show the latest submission, revision, or approval action and date (month and year) with respect to HQUSACE CECW-EP, CECW-P, or CECW-AR, as applicable, review and approval, e.g., S Jan XX for a report that has been submitted to HQUSACE CECW-EP, CECW-P, or CECW-AR, as applicable, but not yet reviewed/approved, R Feb XX for a report that has been returned to the field for revision and A Apr XX for a report that has been reviewed/approved by HQUSACE CECW-EP, CECW-P, or CECW-AR, as applicable.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

ILLUSTRATION B-2.6 (Continued)
PY PROPOSED NEW MAJOR REHABILITATION AND OTHER NEW WORK SUMMARY

Division:

- 3/ Indicate whether (Y) or not (N) the project/element requires additional Congressional authorization for the proposed construction work.
- 4/ Show the scheduled month and year for PCA execution, e.g. Apr XX.
- 5/ Show the month and year of the first construction contract award for the proposed work, e.g. Jun XX.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

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ILLUSTRATION B-2.7
NEW START CONSTRUCTION CHECKLIST

| Project Name | Authorization Status 1/ | Preconstruction Engineering and Design Status 2/ | Remaining Benefit/ Cost Ratio 3/ | Basic Criteria Met (Yes/No) 4/ | Sched PCA Exec Date Mo/Yr 5/ | Preliminary Selection Criteria Met (Yes/No) |
|-----------------|----------------------------|--|--|--------------------------------------|--|--|
|-----------------|----------------------------|--|--|--------------------------------------|--|--|

(List all new start construction projects which are recommended for construction in the PY.)

1/ Cite Authorizing Act, date of resolution for Section 201, or completion date of the Chief of Engineers report included in the feasibility report or EDR.

2/ The project should not be recommended if PED will not be sufficiently complete to allow award of the first construction contract during the fourth quarter of the PY, or by the end of the PY+1 if the sponsor must acquire needed real estate, or if the M-CACES baseline cost estimate or the PMP has not been approved. Planning, engineering and design should be far enough along in the PY so that the orderly and continuous progression of construction is assured with the programmed award of the first construction contract.

3/ Based on applicable rate (cite discount rate and approval date of last approved economic analysis in parentheses after BCR). Footnote projects where authorization is not based on formal benefit/cost evaluation.

4/ Projects having an unapproved Reevaluation Report involving a significant change in project scope or cost or for addition of fish and wildlife mitigation measures will not meet the basic criteria unless the required change(s) recommended in the Reevaluation Report are scheduled for approval by ASA(CW) by 1 August of the PY-2.

5/ Show the scheduled month and year for PCA execution, e.g. Apr XX.

FOR ILLUSTRATION PURPOSES ONLY
(To be typed as necessary)

APPENDIX B-3
CONSTRUCTION, GENERAL - CONTINUING AUTHORITIES PROGRAM,
PROJECT MODIFICATIONS FOR IMPROVEMENT OF THE ENVIRONMENT,
WETLAND AND OTHER AQUATIC HABITAT CREATION,
AQUATIC ECOSYSTEM RESTORATION, AND
RIVERINE ECOSYSTEM RESTORATION AND FLOOD HAZARD MITIGATION

B-3.1. **General.** The programs consist of the following continuing authorities:

- a. Section 107, 1960 RHA, as amended, for navigation projects, Code 902-216
- b. Section 111, 1968 RHA, as amended, for mitigation of shore damages attributable to Federal navigation projects, Code 902-232
- c. Section 103, 1962 RHA, as amended, for beach erosion control projects, Code 902-420
- d. Section 205, 1948 FCA, as amended, for flood control projects, Code 902-516
- e. Section 14, 1946 FCA, as amended, for emergency streambank and shoreline protection of public and non-profit facilities and services, Code 902-517
- f. Section 208, 1954 FCA, as amended, for snagging and clearing projects for flood control, Code 902-518
- g. Section 1135, 1986 WRDA, as amended, for modifications to structures and operations of constructed Corps projects to improve the quality of the environment, Code 902-722.
- h. Section 204, 1992 WRDA for beneficial uses of dredged material for the protection, restoration, and creation of aquatic and ecologically related habitats, including wetlands, Code 902-790.
- i. Section 206, 1996 WRDA for aquatic ecosystem restoration to improve the quality of the environment, Code 902-732.
- j. Section 212, 1999 WRDA for riverine ecosystem restoration and flood hazard mitigation, Code 902-552.

B-3.2. **Submission Requirements.**

a. ER 1105-2-100, subject: Guidance for Conducting Civil Works Planning Studies requires twice-yearly funding status updates of the Continuing Authorities Program National Database Management System be accomplished. The database includes funding schedules for Section 204, Section 206, and Section 1135 projects. These data updates are sufficient to develop the PY program. No separate submission for the Continuing Authorities Program is required. Also, no separate submission is required for Section 204, Section 206, and Section 1135 projects except for those which are specifically programmed. For these projects, follow the instructions in Appendix B-2 for other specifically programmed projects.

b. No separate submission is required for riverine ecosystem restoration and flood hazard mitigation projects. Specific guidance for these projects is being developed and will be provided shortly.

APPENDIX B-4
CONSTRUCTION, GENERAL – RECREATION MODERNIZATION

B-4.1. General. A new initiative in fiscal year 2001, modernization of recreation facilities with state of the art materials and designs can reduce the cost of future maintenance, as well as eliminate much of the costly maintenance backlog.

B-4.2 Definitions. Recreation modernization is defined as the renovation and updating of Corps managed recreation areas to meet the needs of present users, underserved populations, and future generations.

B-4.3 Appropriation Account. Funding for the modernization program will be through the Construction, General (CG) appropriation except for initial preparation of the proposals and subsequent engineering and design work, which should be accomplished with Operation and Maintenance (O&M) funds. Funds will be appropriated annually in a lump sum. HQUSACE will allocate appropriated funds to approved and prioritized modernization proposals. The funding of recreation modernization proposals will be based on merit.

B-4.4. Geographic Scope. Each year, the Major Subordinate Commands will be assigned a target number of proposals, as part of the program EC, that they may submit for the modernization of Corps managed recreation areas. The proposals will be submitted annually to CECW-ON no later than 15 June. Proposals must be prioritized by MSC. Consistent with criteria established for the fiscal year 2001 program recommendation MSC recommendations will be evaluated and prioritized within the CG target allocated for this effort. Following the receipt of all MSC proposals, HQUSACE (CECW-ON) will convene a meeting of MSC representatives to prioritize the MSC proposals from a national perspective. MSC representatives will be expected to explain the MSC ranking and why their proposals were ranked the way they were. Both day use and camping must be given equal consideration in spite of the fact that day use recreation areas generate less recreation revenues. Following the annual receipt of the Construction, General appropriation, funds will be allotted based on this national prioritization.

B-4.5. Submission Requirements. General instructions for submissions are contained in paragraph 11 of the main text of this EC. Each proposal must include a narrative portion no longer than four pages (a standard format for the narrative portion of the proposal is attached), a map of the lake orienting the location of the recreation area, and captioned, illustrative digital photos that show the existing condition of the recreation facilities/infrastructure and/or management problems that will be corrected by the modernization of the recreation area. In addition to meeting the common sense test, as a minimum, the narrative must address:

- a. The name of the District, the water resources project and the recreation area.
- b. The PWI number of the project.
- c. The State name in which the recreation area is located.
- d. The Congressional District(s) in which the recreation area is located.
- e. The annual visitation to this recreation area for the last five years (visitors/year)
- f. The projected annual visitation following modernization of the area (visitors/year).
- g. Clear evidence of public involvement and support of modernization of the area.
- h. The ability to execute modernization of the recreation area in the budget year.
- i. The impact of the modernization of the recreation area on the local and regional economy.

- j. The current condition of the recreation area. Include both facility and management problems that may be occurring and historic utilization levels of the area.
- k. The annual recreation revenues from this recreation area for the last five years (both camping and day use).
- l. The projected annual recreation revenue following modernization of the area (both camping and day use).
- m. The modernization actions proposed for the recreation area (please list major actions).
- n. The projected cost of the modernization by major action (include E&D).
- o. Any projected O&M savings that will result from the modernization of this recreation area (\$ per year).
- p. Certification at the bottom of the proposal by the respective District Chief of Operations and DDEPM that the proposal is complete and accurate.

B-4.6. Evaluation Criteria. The proposals will be evaluated using the following criteria:

- a. Meets local and regional needs based on public involvement input.
- b. The impact on recreation revenues.
- c. The impact on long-term O&M (O&M cost savings, consolidation, etc.)
- d. The reduction/elimination of environmental degradation.
- e. Accessibility for persons with disabilities.
- f. Cures safety and public health problems.
- g. Facilities within the recreation area will meet minimum Corps facility standards following modernization.

B-4.7. Funding for Planning and Engineering. Engineering and design and plans and specifications should be accomplished with O&M funds until CG funds are allocated.

ILLUSTRATION B-4
Standard Narrative Format for Recreation Modernization Proposals

MSC. _____
Modernization Proposal - Priority Number (MSC priority). _____
District _____
Water Resource Project Name and State _____
PWI Number. _____
Recreation Area Name. _____

1. Current condition of the recreation area:
2. Congressional District(s) in which the recreation area is located: (District number and name of Congressman)

| Visitation (visitors/year) and Revenue (\$ (PY is the program year modernization will take place) | | | | | | | | | | |
|--|------|------|------|------|------|------|----|------|------|------|
| | PY-6 | PY-5 | PY-4 | PY-3 | PY-2 | PY-1 | PY | PY+1 | PY+2 | PY+3 |
| Visitation | | | | | | | | | | |
| Revenue (Total) | | | | | | | | | | |
| Day Use Revenue | | | | | | | | | | |
| Camping Revenue | | | | | | | | | | |

3. Evidence of public involvement and support of modernization of the area:
4. Impact on the local and regional economy:
5. The proposed modernization and cost:
(This form will be refined to reflect a narrative description of work to be done and a cost summary.

| | |
|------------------------|-----------------------|
| <u>Proposed Action</u> | <u>Projected Cost</u> |
| | \$ |
| Cost Estimate | \$ |
| xx% Contingency\$ | _____ |
| Total Cost | \$ |

6. Projected O&M savings that will result from the modernization of this recreation area (\$ per year):

I certify that this proposal is complete and accurate and that the modernization of this recreation area can be accomplished in the program year.

/s/
District Chief of Operations

/s/
DDEPM

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OPERATION AND MAINTENANCE, GENERAL
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(Page numbers may vary +or- a page due to differences in printers.)

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SUBAPPENDIX C-1
OPERATION AND MAINTENANCE, GENERAL

C-1.1. **Appropriation Title.** This appendix provides guidance for preparation of the program and program request for all Operation and Maintenance activities under the appropriation titles: Operation and Maintenance, General (O&M) and Flood Control, Mississippi River and Tributaries, Maintenance (MR&T) for the Program Fiscal Year.

C-1.2. **Activities Included.**

| <u>Activities</u> | <u>Category/Class/ Subclass Code</u> | | <u>Guidance Provided in Subappendix Number</u> |
|--|--|--------------------------|--|
| | <u>O&M</u> (903) | <u>MR&T</u> (908) | |
| Navigation | 100 | 410 | C-2 |
| Channels & Harbors | 110 | | C-2 |
| Locks and Dams | 120 | | C-2 |
| Flood Control | 200 | 420 | C-2 |
| ____ Reservoirs | 210 | | C-2 |
| Channel Improvements, Inspections And Miscellaneous Maintenance | 220 | | C-2 |
| Multiple Purpose Power | 300 | | C-2 |
| Protection of Navigation | 400 | | C-2 |
| National Emergency Preparedness Program | 500 | | C-3 |
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SUBAPPENDIX C-2
OPERATION & MAINTENANCE, GENERAL - PROJECT OPERATION AND MAINTENANCE

C-2.1. **Purpose and Scope.** This subappendix provides policy and general procedural guidance for developing programs for the Project Operation and Maintenance (O&M), and National Emergency Preparedness programs. To provide a general framework and uniform approach for program development and justification, four incremental funding levels have been defined. The various work items have been grouped by Work Category Code (WCC) for purposes of defining the appropriate funding levels. Guidance for the electronic transmission of automated data for submittal of program and program recommendations is contained in the Civil Works Operation and Maintenance Windows Automated Program System (WINABS) Manual, available on the Civil Works Home Page (<http://www.cecer.army.mil/pl/abs>) Procedures for preparing input, for generating reports, and for updating data are also included in that manual.

C-2.2. **Program Development Principles.**

a. **General Philosophy.** The O&M program should be developed in recognition of the need to preserve the existing infrastructure and provide justified levels of service at least cost, in accordance with established criteria. In order to do so, the operations portion of the program should be constrained to the greatest degree possible so as to maximize the proportion of available resources that can be devoted to maintenance requirements. In effect, this means that additional management efficiencies must be employed at every opportunity to generate savings that can be applied toward reducing the inventory of unfunded maintenance.

- (1) **Established Criteria** is defined as the standard with specific guidelines which are formulated by the administration which clarify and describe "justified levels of service."
- (2) **Justified Level of Service** is defined as the delivery of a supportable and defensible amount or degree of project benefits consistent with authorization, use, and administration policies.
- (3) **Least Cost** is defined as the lowest amount of expense that a prudent manager would select, balancing between short and long term economics and considering overall availability of resources.

b. **Relationship to Program Execution.** Good program execution is an essential ingredient in securing the program resources needed to ensure a viable O&M program and thereby continue to provide the Nation with the benefits for which water resources projects were constructed. Development of the program is directly related to program execution. Therefore, it is imperative to develop a sound and realistic program that can be executed as scheduled in accordance with commitments to customers. The baseline programming process described in this subappendix has been designed to facilitate both program development as well as execution. If the procedures outlined in this subappendix are implemented in a consistent manner throughout the Corps, the result should be: (1) a credible program that can be defended within the Administration and Congress, (2) a sufficient allowance of O&M funds and (3) a high degree of fiscal performance.

c. **Operations (Work Category Codes 601-606).** All operations features should be closely examined to reduce costs wherever possible. While there may be some cost fluctuation among individual projects, the goal is to reduce, or at least constrain, the aggregate total growth of operations costs in the MSC to no more than inflation. Accordingly, operations costs in the FY 2000 program have been adjusted for inflation and caps for FY 2001 are provide in Table C-2.5. MSC s shall not exceed these caps in their FY 2001 program submittal. Efficiency improvements should be employed to reduce operations costs, where possible.

d. **Maintenance (Work Category Codes 611-616).** Prudent stewardship of available resources is essential to preserve the existing infrastructure. The growing and aging inventory of projects dictates that

resources be concentrated on the maintenance features of the program to the maximum extent possible. Just as with operations, the maintenance features should be reviewed and efficiency measures employed to reduce costs.

e. **Priorities.** The MSC and district commanders must ensure that the program request provides balanced and equitable treatment to all business functions (navigation, flood damage reduction, ~~navigation~~, hydropower, environmental stewardship, and recreation).

f. **O&M Cost Savings Initiative.** This initiative is a methodology that has been developed to reduce the cost of operating and maintaining the Nation's water resources infrastructure, while still providing justified levels of project services. This cost reduction initiative - along with other locally generated cost saving measures - should be used to seek more efficient operation and maintenance of projects and to help reduce costs. The savings generated by these initiatives would be applied toward reducing the inventory of unfunded maintenance. All business functions should be continually reviewed to achieve cost savings under these initiatives.

C-2.3. Program Development and Review Process.

a. **Work Category Codes (WCC).** The Civil Works O&M program development process reflects the Corps compliance with the requirements of the Government Performance and Results Act of 1993. Therefore, the program will be submitted in a form that reflects the five business processes/functions established for the O&M mission. These business functions are Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship and Recreation. In addition, each ~~program~~ work package will be tied to a business performance measure and goal for the program year. There are twelve (12) Work Category Codes (WCC) -- six for operations and six for maintenance. The first five of these Work Category Codes are named in accordance with the five business functions (or lines of business) within the operations or maintenance areas. There is also one special WCC in each group for the work ~~items~~ packages that cannot be assigned to one specific business function at a project with multiple authorized purposes (Cat/Class 300, Multiple Purpose with Power projects). These two WCCs are to be used only for the joint activities that are incurred at Category/Class 300 multi-purpose projects with power, i.e., those Corps-operated hydropower projects that have more than one authorized purpose and where joint costs are assessed to some user according to a statutory cost allocation. The goals of this program development process are to simplify reporting requirements, reduce the number of program work packages, and ~~to~~ create a performance-based program along the lines of the five O&M business functions. The following tables are provided to aid in developing work packages aligned with appropriate business functions, WCCs and subWCCs.

- (1) Table C-2.1 lists WCC's and sub-WCCs in numerical order.
- (2) Table C-2.4~~2~~ lists WCC'S and sub-WCCs in alphabetical order.
- (3) Table C-2.3a is a matrix that displays the operation WCCs for each business function.

- (4)..... Table C-2.3b is a matrix that displays the maintenance WCCs for each business function.
- (5) Table C-2.3c describes and defines each WCC for operations activities.
- (6) Table C-2.3d describes and defines each WCC for maintenance activities.

b. **Performance-Based Programming.** Each project must enter the Program Year (PY) performance goals into the Outputs subform of the Project Edit Screen in WINABS for those performance measures which are relevant to the project. For example, PY performance goals would be required for the navigation performance measures for a lock project. At the same project, depending on the activities taking place, performance goals may also be required for the recreation and/or environmental performance measures. The number of performance measures for which performance goals are required, and which must be used to justify project work packages, is based on the activities at the project. ~~Project personnel having questions as to which Performance Measures are appropriate for their site should contact their district's Management Support Branch.~~ The PY Tier II performance measures and goals are shown in Table C-2.5 of this subappendix.

For those critical work packages that the district must have funded in the fiscal year, the districts are encouraged to list in their funding argument/justification a quantified description of how funding that work ~~item~~ package will contribute to accomplishing the Tier II performance goal for the PY. This information is mandatory for work packages falling within the bottom 10 percent of the target funding level and work packages falling within the first 10 percent beyond the target funding level. The funding argument may also list how funding this work ~~item~~ package will contribute to accomplishing the Tier III or IV performance goals for the district or project, where applicable. Although a given project will have a single goal (e.g., 95 percent availability) for a given performance measure, districts may cite different performance levels in the funding arguments for different work packages. For example, funding of the highest priority nondeferrable package may be required to attain 80 percent availability; funding of the next highest priority nondeferrable package may enable the project to meet its goal of 95 percent availability.

c. **Use of New Work Category Codes to Program for Business Functions.** The Work Category Codes are listed as follows:

- 601XX Operation for Navigation Function
- 602XX Operation for Flood Damage Reduction Function
- 603XX Operation for Hydropower Function
- 604XX Operation for Environmental Stewardship Function
- 605XX Operation for Recreation Function
- 606XX Joint Activities for Operations

- 611XX Maintenance for Navigation Function
- 612XX Maintenance for Flood Damage Reduction Function
- 613XX Maintenance for Hydropower Function
- 614XX Maintenance for Environmental Stewardship Function
- 615XX Maintenance for Recreation Function
- 616XX Joint Activities for Maintenance

The programming and costing process will allow the total costs for a business function to be identified. For example:

- (1) A single purpose Cat/Class 100 Navigation project would have all its work packages programmed under the 601XX and 611XX WCCs. These two WCCs would identify the total costs for the Navigation business function at this project.

(2) A Cat/Class 200 flood damage reduction project with recreation and water supply as authorized project purposes might have a water supply agreement where the water customer is responsible for paying all costs but recreation. In this case, all work packages that are non-specific (joint costs) would be shown in WCCs 602XX and 612XX Flood Damage Reduction. All recreation-specific ~~costs~~ work packages would be shown in charged to 605XX and 615XX, as appropriate, and these costs would not be used in calculation of the water customer's assessment.

Joint Costs used for repayment purposes should not be confused with the term "Joint Activities" as used for programming purposes under the WCC process. (See below.)

(3) A Cat/Class 300 Multiple Purpose Project with Power will have its specific hydropower work packages shown under WCCs 603XX and 613XX. The work packages for joint activities will be shown under WCCs 606XX and 616XX. This allows the Corps to identify the specific costs for hydropower O&M, plus that portion of the costs for joint activities which ~~are~~ is allocated to hydropower. During the programming process, a roof repair work package for an administration building at a multipurpose project, for example, would have a portion of the cost of that work package identified with the hydropower business function in accordance with its statutory cost allocation formula. The WINABS program adds hydropower portions of each of these joint activity work packages (WCCs 606XX and 616XX) together with the hydropower-specific work packages (WCCs 603XX and 613XX) to give the representative cost of performing the hydropower business function. Work packages representing specific activities for Recreation or Environmental Stewardship will be costed under the WCCs for those specific business functions; WINABS will add them to their allocated portion of the cost of joint activity packages, apportioned according to the power cost repayment allocation for that project. The O&M Program will then show the amount programmed for each (e.g., Hydropower and Recreation) business functions.

Power cost repayment will be accomplished as is currently done; that is, for each project, the individual WCCs will be given the "purpose code" for "joint costs" or "specific costs" as required by the power repayment cost allocation report. Power cost repayment accounting is a separate activity from the programming and execution WCC procedure described herein.

d. **O&M Power Costs in the Pacific Northwest.** Pursuant to the 5 December 1997 Memorandum of Agreement between the Department of Energy, acting by and through the Bonneville Power Administration (BPA), and the Department of the Army, entitled "Direct Funding of Power Operations and Maintenance Costs at Corps Projects", BPA will direct fund O&M Power Costs for Corps projects with hydroelectric power generation facilities for which BPA is the designated Federal power marketing agency. O&M Power Costs include hydropower-specific O&M costs, the power portion of joint O&M activities, and power capital items. The Corps will prepare an Annual Power Program that specifies O&M Power Costs for each applicable project. Annual Power Programs for five consecutive fiscal years will be combined into a Five Year Power Program for purposes of inclusion in the BPA rate base and to fund the Corps O&M power costs.

O&M Power Costs in the Pacific Northwest will be entered into WINABS under a separate appropriation (Bonneville Power Appropriation), and submitted concurrently with the O&M, General program submittal to HQUSACE, in the appropriate funding levels. In addition, work packages for joint activities will be split into two work packages to reflect the appropriate allocation of joint activity costs between the O&M, General and O&M Power Cost appropriations. Work packages for the power portion of joint activity costs require specific dispensation from ASA(CW) to be funded within the O&M, General appropriation. Such packages will be identified as special interest items (see Paragraph C-2.4).

e. **Work Packages - Primary and Supporting Costs.** In developing a work package, all costs required to accomplish the work should be included. This includes the cost of the primary activity as well as all supporting activities that are required to accomplish the work. For example, a dredging work package should contain the cost of the actual dredging process plus the costs for before and after surveys, engineering and design, real estate requirements, contract supervision, water quality monitoring, etc. In this way, a complete and stand-alone decision package is developed, thereby avoiding situations where the primary work is funded without the necessary supporting activities, or vice versa. This process applies to all WCC-based work packages.

In the past, district organization codes could only be assigned at the work package level in the O&M automated program system. Many districts separated supporting cost work packages from primary cost work packages so that they could run reports showing organizational element cost breakouts. To help districts consolidate supporting activity tasks into primary activity work packages, WINABS is designed to give districts the ability to create task records related to each work package. These task records can be associated with specific district organizational elements so that district offices can run reports showing each organization's program request.

f. **Operational vs. Non-Operational and Maintenance Work Packages.** A continuing effort is required to standardize designations of work packages as either operational vs. non-operational or maintenance-related. To provide uniform guidance for the appropriate placement of such work ~~items~~ packages within operations or maintenance Work Category Codes, detailed definitions of the operation and maintenance elements of each WCC are provided in Table C-2.3. In addition to these definitions, the following general principles the following definition of "Operational Maintenance" should be applied, to determine those ~~maintenance work items which should be included under operations Work Category Codes.~~ Operation ~~al~~ maintenance work packages may include maintenance that is ~~is~~ of a recurring nature, ~~that is and is~~ integral to continued project operation. ~~This includes~~ Examples include things such as custodial services, removing ice and snow, debris, trash, cleaning; relamping lighting fixtures, routine testing of lubricating and hydraulic oils; replacing packing in valves and glands; replacing electrical brushes, placing signs and markers, painting of guardrails, wall striping, and touch-up painting, etc. This work is ~~the type~~ performed on an annual basis, typically by hired labor ~~and~~ or small contract (service contract, purchase order, etc.). All other maintenance work, ~~items,~~ specifically, non-recurring and non-routine maintenance, should be placed under maintenance Work Category Codes. It is the nature of the work itself which dictates where it should be placed. That is, annual recurring costs for annual recurring work, such as custodial services, belongs under operations Work Category Codes, while annual recurring costs for non-recurring work items, (e.g., minor roof repairs one year, repainting comfort stations the next, etc.), belong under maintenance Work Category Codes, either within baseline or other funding levels as appropriate.

g. **Appropriate Levels of Work Package Justification.** In a performance-based program, every work package must relate to the accomplishment of an approved performance objective. A work package must be justified based on its contribution to attainment of one or more performance goals for the performance measure(s) of its related performance objective(s). The work package justification is presented as part of the funding argument. The amount of justification required depends on the nature of the work package-objective-measure-goal linkage. These linkages and the necessity of the work package to performance goal attainment must be made clear to all levels of reviewers, both internal and external (e.g., OMB or Congress) to the Corps. The impacts of the work package on specific areas of customer service, project performance, infrastructure investment, personnel or public safety, the local community, statutory requirements, or other considerations should be included in the funding argument, especially for packages in the Non-Deferrable and Deferrable levels. Baseline level work package funding arguments should generally remain constant from year to year; however, the funding arguments for other funding level packages are likely to need updating annually as specific work ~~items~~ items and corresponding justifications change. All work packages in all levels should have a description and funding argument.

h. **Well-Written Descriptions and Funding Arguments.** Care should be taken to write all descriptions and funding arguments clearly and concisely so that the reader can understand and appreciate the work for which funds are being requested. Well-written program justifications are essential to convince reviewers who are not familiar with the work to fund your needs.

1

C-2.4. **Funding Levels.** These funding levels are as follows:

| OPERATION AND MAINTENANCE, GENERAL FUNDING LEVELS | | |
|--|---|----------------------------|
| FUNDING LEVEL | TITLE | |
| 1 | Baseline | |
| | Annual O&M Dredging | Annual O&M Non-Dredging |
| 2 | Non-Deferrable in the Program Year | |
| 3 | Deferrable in the Program Year | |
| 4 | Maintenance and Repair Beyond Ability (MRBA) | |

The criteria for placing work activities packages in each Work Category Code are included in Table C-2.3. Four levels of funding have been developed for all categories of work based on varying degrees of operation and care of the Nation's capital investment in completed projects. Each work package should consist of work items from a single funding level; similar or related work items which belong in different funding levels should be submitted as separate work packages. The following are general descriptions of the four funding levels:

a. **Baseline.** This level is defined as a level of funding which includes only the relatively fixed, non-discretionary costs of operating and maintaining Corps projects, **and which are necessary in order to attain the established Tier II performance goal in the Program Year.** A work item is a baseline submission if it is required, has been performed on an annual basis for at least five consecutive years through FY 1998 and provides a justified level of service at least cost. This level is further sub-divided between dredging and non-dredging baseline levels. Each of the following criteria must be met in order for a work item to be eligible for this level of funding:

- (1) Only the relatively fixed, non-discretionary costs of operating and maintaining Corps projects should be placed in this level.
- (2) The work must be required to provide a justified level of service at least cost.
- (3) Best business practices should be employed to achieve the best value at lowest cost.
- (4) The work is necessary to attain the established Tier II performance goal in the Program Year.
- (5) A work item must have been performed on an annual basis for at least five consecutive years to be eligible for baseline level funding. This does *not* mean that a work item *must* be placed in the baseline just because it has been performed five years in a row. Meeting the five-year eligibility criterion alone is not sufficient for a work item to be included in the baseline level. Each of the other criteria must be

satisfied first. Even if the five-year criterion (as well as the other criteria) has been met, there may be circumstances where the district chooses *not* to include certain work items in the baseline. In summary, doing something five years in a row is not a "free pass" into the baseline.

(4a) **Dredging.** Includes only costs of annual dredging at Corps projects. A work ~~item~~package for dredging is eligible for a baseline submission if dredging at the specific project is required and has been and will be performed on a regular and recurring basis. The dredging must provide a justified level of service at least cost and meet all of the other eligibility criteria described above. The costs may be either stable or vary significantly from year to year.

(2b) **Non-Dredging.** Includes all other baseline work items that meet the above eligibility requirements. Baseline items include hired (in-house) and contract labor associated with the annual operation of the project and annual non-discretionary maintenance at a specific site, ~~(consisting of a structure and its associated reservoir), including hired (in-house) labor and contract support, e.g., operational maintenance, custodial tasks, grounds maintenance, vehicle maintenance, and routine materials and supplies and all other annual maintenance.~~

Work ~~item~~packages for new projects coming on line or new requirements, e.g., incremental dredging for a deepened channel or operation and maintenance of a new navigation lock, can be added to the baseline by programming in the *non-deferrable in the program year* level and performing the activity for five consecutive fiscal years, at which time that work ~~is eligible~~may be reviewed for inclusion in the baseline. When programming for the sixth consecutive year of performance, the work package should be reassessed to determine if it will continue to be required annually to meet all of the eligibility criteria prescribed above. If so, the work ~~item~~package may be moved to the baseline level, and included as a separate work package or combined with an existing work package, as appropriate. The justification for the package must identify that it is a new baseline package (or which portion of the work package represents a new baseline requirement) and why it qualifies as a baseline item. Performance in six consecutive years by itself does not qualify a package for the baseline; the package must ~~be for a true annual requirement which provides a justified level of service at least cost, and which is necessary in order to attain the established Tier II performance goal in the Program Year.~~ meet all of the eligibility criteria prescribed above, i.e., no "free passes."

b. **Non-Deferrable In Program Year.** This level includes work ~~item~~packages of a non-annual nature, both one-time and cyclical, such as major maintenance, equipment replacement, dredging, special studies, e.g., major rehabilitation evaluation reports, dam safety reconnaissance reports, and others. This level includes cyclical maintenance items, e.g., periodic maintenance, and maintenance of floating plant. Hired (in-house) and contract labor required to perform non-deferrable work packages should be included as part of these packages. Non-deferrable work packages are for ~~work items~~requirements which must be performed in the program year in order to provide for continued project operation at a justified level of service at least cost, and which, if not performed, result in an unacceptable risk of failure to attain the established Tier II performance goal in the Program Year. These work ~~item~~packages, if deferred, would result in a high probability of unsuccessful performance of the project, facility, or function, i.e., contribute to a high risk of failure to attain the established Tier II performance goal in the Program Year. Condition Indices (CI) should be used to help determine this probability, where ~~feasible~~available; for example, the repair of a lock filling valve with a low "CI" would indicate a *Non-Deferrable in the Program Year* status. This funding level includes those *Non-Deferrable In Program Year* ~~work items~~requirements for all Work Category Codes (both operations and maintenance) which are required by Engineer Regulation, Executive Order and/or Federal law, and are performed on a non-annual basis. This includes both cyclical ~~work items~~requirements, e.g., periodic inspections, lock de-waterings, tunnel inspections, O&M manual updates, Reservoir Regulation Manual updates, Master Plan updates, etc.; and one-time ~~item~~srequirements, e.g., fish screen repairs, underground storage tank removal, etc. Consideration should also be given to the relative importance of the project, facility or function. ~~Five-year~~De-watering of a critical navigation lock, for example, could be determined to be *Non-Deferrable In Program Year*. Program limitations dictate taking a certain degree of risk in the non-deferrable level. However, the

submissions in this level must contain all ~~items~~ requirements necessary for ~~required to allow~~ projects to provide continued service and highest priority work items in accordance with the Tier II performance goals for the PY. HQUSACE will review the submissions and, in this process, will work with the field as the program is refined for submission to higher authority.

c. **Deferrable in Program Year.** This level includes those O&M work ~~items~~ packages of a non-annual nature, both one-time and cyclical, such as major maintenance, equipment replacement, dredging, special studies, and others. These work ~~items~~ packages should be performed in the program year, and are reasonable and prudent investments, which are economically and technically justified, to preserve the integrity of the structures and ensure the future operability of the project for the justified level of service at the least cost. Delays in funding these work ~~items~~ packages may not necessarily have an adverse impact on the operation of the project in the Program Year but may result in deterioration of project features and, consequently, increased repair costs at the time the work is performed at some future date. Delay of these work ~~items~~ packages is not expected to impact the accomplishment of the PY Tier II performance goals. This level also may include those work ~~items~~ packages which will result in increased efficiencies and lowered project operating and/or maintenance costs and FTE. It also may include work ~~items~~ packages which will result in an addition to the project's capabilities or features, thereby increasing the level of service to the public, provided it is within the scope of the project's authorized purposes and justified by the increased usage and benefits of the project. This funding level includes those *Deferrable in Program Year* work ~~items~~ requirements for all Work Category Codes (both operations and maintenance) which are required by Engineer Regulation, Executive Order and/or Federal law, and are performed on a non-annual basis. This includes both cyclical ~~work items~~, requirements, such as periodic inspections, lock de-waterings, tunnel inspections, O&M manual updates, Reservoir Regulation Manual updates, Master Plan updates, etc.; and one-time ~~items~~ requirements, such as fish screen repairs, underground storage tank removal, etc.

d. ~~MRBA~~ (Maintenance and Repair Beyond the Ability of the District) **(MRBA)**. This funding level includes those maintenance and repair ~~work~~ packages having a minimum cost of \$100,000, that should be performed to provide the justified level of service at least cost ~~which are not resource constrained, but are would be~~ physically impossible for the district to accomplish during the Program Year, regardless of funding availability. MRBA also includes additions and efficiency improvements performance goal attainment work packages that are beyond the ability of the district. ~~These additions and efficiency improvements~~ These performance goal attainment work packages will also be identified by the special group interest item codes described in the paragraph C-2.5 WINABS data entry screen for each work item. Levels 1 through 3 represent work that the District can accomplish in the PY if funded. Level 4 is for those work ~~items~~ packages that could not be performed even if additional resources were made available.

e. **Funding Targets.** The MSC funding targets displayed in Table C-2.4 are the starting point for the development of the final program submittal that is presented to OMB and to Congress. Several adjustments are made to your program during this final phase of preparation after it has been submitted to HQUSACE. These adjustments depend upon what is included in your program submittal - both within and outside of your target. MSC's should insure that every legitimate O&M need is included and properly prioritized within their program submittal so that their final program is based on the complete needs of the MSC.

C-2.5. **Special Interest Items.** In order to highlight specific packages, the following special interest items have been defined. HQUSACE may add to or delete special interest items as needed in each Program Year. Special interest items are not additional funding levels and any given ~~work~~ package may fall into all, none, or any number of special interest item categories. The program reviewer may call for a WINABS report for all work ~~items~~ packages in a special interest item category. When entering data into the WINABS, system you will be prompted to indicate if a work package falls into one or more of the following categories:

| Special Interest Items |
|---|
| Performance Goal Attainment |
| Endangered Species Act Activities |
| Continuing Contract from PY-1 |
| Major Maintenance |
| Dredged Material Management Plan Studies |
| New Recreation Facilities |
| <u>Power Portion of Joint Activities in the Pacific Northwest</u> |

A description of each of these special interest items follows:

___a. **Performance Goal Attainment.** This group includes operations or maintenance work packages for activities beyond the baseline level which would provide a project, having performance that is historically **and** significantly lower than the established Tier II performance goal for a specific business function, with incremental additional funding to repair, replace, or resolve the O&M problem inhibiting goal attainment. A work package of this type is to be placed in the Non-Deferrable level and should represent only the incremental additional funding requested for increased effort towards goal attainment. (Do not double-count the cost; this package should not be the sum of the differential cost and the current baseline funding requested for this work ~~item~~ package). In some cases, the extra work required to attain a performance goal may take several years to result in goal attainment; it is expected that many “**Performance Goal Attainment**” packages will be for incremental improvements over several consecutive program years. Fiscal resources are not generally available to support 10%-20% gains in performance (e.g., availability) in a single year at any project. For example:

A multi-chamber lock has been operating at a historical availability of 83 percent for the last decade due to recurring gate arm motor system failures. In order to attain an availability goal of 95 percent, it has been determined that an additional 520 man-hours of focused preventive maintenance is required annually. A new non-deferrable WCC 60110 work package for this ~~extra operational~~ enhanced preventive maintenance would be flagged as a “Performance Goal Attainment” special interest item (i.e., an activity required to raise performance by 12 percent over one or more years). It would be typical to ask for 20 percent of the total extra resources (e.g., 20 percent of the 540 man-hours) in the PY, 40 percent of the total extra resources (e.g., 40 percent of the 540 man-hours) in PY+1, 60 percent in PY+2, etc. If the package is funded for five consecutive years, and is at that time assessed as a continuing requirement, and it meets all the baseline funding level criteria, then it may be moved to the baseline level and incorporated into the existing baseline WCC 60110 work package, which currently represents funding at the 83 percent performance level.

___The districts and MSCs have the first-line responsibility to review and approve proposed “Performance Goal Attainment” work packages, based on their knowledge of the sources of lowered performance at a specific project. All internal efforts to resolve low performance through changes in organization, policy, management, personnel, or business processes should be investigated and tested, with verification at the district level, prior to inclusion of a “Performance Goal Attainment” work package by a project. These packages are designed to assist projects which have attempted, through acceptable business practices, all other means to attain their goal(s).

b. **Endangered Species Act Activities.** Any work functions that are to be performed in order to comply with the Endangered Species Act will be given this special group interest item indicator code.

c. **Continuing Contract from PY-1.** Work packages representing contracts that will be continued from PY-1 into the PY will be given this special group interest item indicator code.

d. **Major Maintenance.**

(1) **Definition.** Major maintenance is defined as a non-repetitive item of work or aggregate items of related work ~~in~~for which the total estimated cost exceeds \$3 million, and ~~which~~ does not qualify as Major Rehabilitation. This designation is not applicable to dredging, but it is applicable to dredged material disposal facilities. The related items of work should include all items required to make the work effective for its desired purpose. Optional or casually-related work which is not essential to the major maintenance item should be programmed, prioritized, and justified as ~~any other~~a separate work function package, or part of another work package, as appropriate.

(2) **Program Submission.** Supplemental justification will be included in the narrative description for each package. See paragraph 11 of the Main Text for the requirements.

e. **Dredged Material Management Plan (DMMP) Studies.**

(1) **General Requirements.** Dredged Material Management Plans (DMMPs) are developed to identify measures necessary to manage the volume of material estimated to be dredged over a twenty-year planning horizon. Study activities required to develop DMMPs for existing Federal navigation projects maintained by the Corps of Engineers, both inland and coastal, will be funded in the O&M account. All navigation projects for which maintenance dredging is expected to be required within the next ten years are eligible for the expenditure of funds for DMMP studies, subject to the following:

(a) **BY Priorities.** DMMPs will be prepared for all eligible projects on a priority basis, commensurate with the urgency and significance of impediments to continued maintenance. Requests for funding to initiate DMMP studies in the PY will be considered on a national priority basis, upon HQUSACE (CECW-O) review of submission documents. MSC's will ensure that highest priority is given to projects for which presently used disposal sites do not have sufficient capacity to accommodate disposal requirements through 2009~~10~~. DMMPs generally are not required when existing disposal sites, including confined disposal sites, have sufficient capacity to contain all material estimated to be dredged over the next twenty years, provided that there are no foreseeable impediments to use of these sites.

(b) **Non-inland-waterway Projects.** DMMPs for all projects, exclusive of those which are part of the fuel-taxed inland waterways system, will be developed in accordance with Policy Guidance Letter (PGL) No. 40, Dredged Material Management Study Cost Sharing.

(2) **Categorization.** All costs associated with DMMP studies should be included in Work Category Code 60123. The studies should be clearly identified as "Dredged Material Management Plans" in the work package description, including the code "DMMP" as an indicator code. A Supplemental Justification Sheet in the format shown on ~~page 1 of~~ Illustration C-2.2 shall be submitted for all projects requiring DMMPs, with a total cost (whether single-or multi-year) of \$400,000~~\$500,000~~ or more. ~~A Supplemental Information Sheet, in the format shown on pages 2 and 3 of the same illustration (Illustration C-2.2), shall be attached to the Supplemental Justification Sheets. These~~ This sheets should be forwarded to reach HQUSACE (CECW-BC) by 1 July 1999~~2000~~.

f. **f.—New Recreation Facilities.** Work packages related to the construction of new recreation facilities will be given this special interest item indicator code. See also Subappendix C-4 for information requirements associated with these work packages.

g. **Power Portion of Joint Cost Activities in the Pacific Northwest.** Work packages for joint cost activities in the Pacific Northwest will be assigned this special interest item indicator code if the Bonneville Power Administration is not going to provide funding for the power portion in accordance with the terms of the 22 December 1997 direct funding MOA.

C-2.6. **Unaccomplished Operation and Maintenance and Repair Backlog (UMAR) Reporting Requirements.** District and MSC offices are encouraged to develop ~~unaccomplished~~complete operation and maintenance programs so that they might better anticipate future program management requirements. It is important that *all* justified ~~maintenance~~ requirements funded or unfunded, be identified, ~~even though it may be unlikely so that in the event that sufficient additional resources will be made available to for infrastructure preservation, appropriate funding prioritization decisions can be made about work packages which may originally have appeared to be below the funding level, finance the work.~~ Identification of ~~all unfunded requirements~~backlog is critical in order to understand and quantify the condition of the water resources infrastructure, and the quality of associated services. It is equally important that the ~~unfunded requirements~~identified backlog be a realistic assessment of ~~maintenance, repair, and replacement items that are truly needed~~requirements, and not a "wish list" of nice-to-have enhancements.

a. **Unfunded Infrastructure Maintenance and Repair. Unfunded Backlog.** ~~Infrastructure maintenance~~Backlog is defined as those operation and unfunded maintenance, repair, and replacement work items which are required and should have been funded by the PY in order to provide reasonable assurance that project performance goals can continue to be met. Backlog may occur in any line of business and is not limited to infrastructure-related work packages. Deferred maintenance of a project feature or deferred update of a project exhibit for instance, may both be valid examples of backlog. ~~to maintain Corps Civil Works infrastructure in such a condition that it can continue to be used for its designated purpose, including natural resource features. Unfunded infrastructure maintenance and repair is the sum of unfunded maintenance work packages (WCCs 611XX through 616XX) including MRWA (Maintenance and Repair Within Ability), MRBA, and Major Rehabilitation work packages. In addition, Total backlog is the sum of backlog from all WCCs and at all program funding levels. The following items, however, are excluded from unfunded infrastructure maintenance backlog:~~

- (1) Additions;
- (2) Efficiency improvements;
- (3) Maintenance or repair ahead of schedule or prior to demonstrated need or deficiency;
- (4) WCCs 61X51 and 61X52 (real estate management activities);
- ~~(5) Studies, manuals, and as-built drawings;~~
- ~~(6)(5) Maintenance of non-Corps facilities (however, maintenance of dredged material disposal sites on non-Corps property *should be* included);~~
- ~~(7) Permanent operating equipment maintenance, repair, and replacement.~~

b. **Permanent Operating Equipment Maintenance, Repair, and Replacement (POEMRR).** This is defined as unfunded maintenance, repair, and replacement work packages for equipment which is not permanently installed or affixed to Corps structures. (Installed equipment, e.g., gantry cranes and installed generators, should be included under Unfunded Infrastructure Maintenance and Repair as described in Paragraph C-2.6.a above). These work items are justified unfunded maintenance and repair items which do not directly impact upon the condition of Corps Civil Works infrastructure. Permanent operating equipment maintenance excludes additions and efficiency improvements, and maintenance or repair ahead of schedule or prior to demonstrated need or deficiency. Total permanent operating equipment maintenance requirements will be presented by WCC. Since the maintenance of permanent operating equipment is now rolled into the WCC 61X10 of each line of business, POEMRR should be reported by line of business. **Critical Backlog.** Work packages which are included in the program at the nondeferrable level but are not funded are designated as critical backlog. Critical backlog is also a component of total backlog.

C-2.7. **Cost Estimates.**

a. **~~Projections -- Non-Dredging Projects.~~** Field offices will compute costs based on PY-1 cost projections. All cost estimates will be projected to levels based on inflation factors and assumptions provided in the main part of this EC.

b. **~~Projections -- Baseline Maintenance Dredging Projects.~~** Baseline dredging projects are those at which dredging has been performed annually for at least five consecutive fiscal years through PY-3. The established cost estimating methodology will be employed for projects with dredging-related expenditures of over \$100,000 per year.

(1) **~~Projects with maintenance dredging expenditures under \$100,000 per year.~~** For projects at which the dredging and dredging-related expenditures did not exceed \$100,000 in each of the five previous fiscal years (PY-7 through PY-3), no new guidance is provided. Districts should develop these projections consistent with the goal of providing a justifiable level of service at least cost.

(2) **~~Projects with maintenance dredging expenditures of a minimum of \$100,000 per year.~~** The following estimating process applies all program requests for annual maintenance dredging under the Work Category Code 61121, maintenance dredging, for projects that have a Civil Works Identification System (CWIS) number and that have expended a minimum of \$100,000 in each of the five fiscal years, PY-7 through PY-3. The process for developing programs under the WCC 61121 for large dredging projects is as follows:

Step 1. Gather historical dredging and dredging-related expenditure data on each Civil Works dredging project and compute the average expenditure over the five-year period PY-7 through PY-3. The Corps of Engineers Financial Management (CEFMS) be used as the source of direct expenditures for the current 33.11 feature cost code. Under CEFMS, Engineering and Design (E&D) and Supervisory and Administrative (S&A) expenditures prior to FY 1999 were accounted for under separate accounts. It is often difficult to separate the E&D and S&A costs associated with maintenance dredging. Where records are not available to distribute E&D and S&A costs to maintenance dredging, a pro rata distribution will be estimated based on the ratio of contract costs for maintenance dredging at a project to all contract costs at the project. The five-year average annual maintenance dredging costs will include contract costs, E&D and S&A costs. Condition survey and costs associated with maintenance and construction of dredged material disposal facilities will not be included. Survey costs will be programed under WCC 60121 and disposal area maintenance and construction costs under the WCC 61122.

Step 2. Determine baseline requirements for large dredging projects by selecting those projects with a minimum dredging and dredging-related expenditure of \$100,000 in each of the five years from PY-7 through PY-3. Compute the average dredging-related expenditure by project for each of these projects. Use the following inflation factors to express each year's costs in PY dollars:

| <u>YEAR</u> | <u>FACTOR</u> |
|-------------|---------------|
| 1994 | 1.1279 |
| 1995 | 1.0989 |
| 1996 | 1.0727 |
| 1997 | 1.0439 |
| 1998 | 1.0217 |

Step 3. The inflated five-year averages, as calculated above, will serve as the initial program estimates for dredging at each project. Assess these estimates and determine their adequacy for each project's anticipated PY dredging requirements. If necessary, the inflated five-year average may be adjusted up or down to better reflect the anticipated project dredging requirements. No additional justification is required to effect a downward adjustment. If a project's dredging program is increased from the inflated five-year average, a written justification of the compelling circumstances must be furnished to the MSC with the program submittal.

Step 4. The MSC will then compute a MSC five-year average for baseline requirements for large dredging projects by adding the averages of each of these projects within the MSC. The MSC goal for the PY program is to keep the total request for Work Category Code 61121 for these under the five-year average total for all such dredging projects in the MSC. The program request for any one project with large baseline maintenance dredging requirements can be more than its five-year average as long as the total program request for such projects within the MSC is under the five-year average for the MSC. This flexibility gives managers some leeway in developing project programs. Any MSC program requests that exceed the five-year average must be justified to HQUSACE (CECW-O) with the program submittal.

c. Projections - Non-annual Maintenance Dredging Projects. Project programs for aintenance dredging projects which do not meet the criteria for baseline dredging projects as defined above shall be estimated consistent with the goal of providing a justified level of service at the least cost. Non-annual maintenance dredging should be requested only for areas in which the lack of dredging will cause an unacceptable risk of failing to attain the PY Tier II performance goal for this line of business.

4b. Rounding. All cost estimates shall be rounded to the nearest one thousand dollars (\$1000). Because of serious complications in aggregating functional, regional and national summaries, it is imperative that everyone at all levels strictly adhere to this requirement without exception.

C-2.8. Rank Assignments.

a. **Work Groupings.** The smallest increment of work for O&M programming purposes is a work item or task. Examples of tasks are trash pickup at a recreation area, mowing a levee, or painting a lock gate. In the program system, these tasks may be grouped into work packages by Work Category Codes to represent general areas of work such as maintenance of 15 of 30 recreation sites during May through September or painting lock gates at locks 1-4. Work packages also represent the criticality and relative importance of the work. For example, the relatively fixed, non-discretionary costs of operating and maintaining a major commercial navigation lock would be included in the baseline level work package, while non-annual or one-time maintenance would be placed in lower (non-deferrable or deferrable) level work packages. Funding levels are grouped by Work Category Code, as shown in Table C-2. The final grouping of the hierarchy is the project level. All work must be authorized in specific projects.

b. **Rankings.** Tasks at projects will be developed to describe the funding requirement for each project and will not be aggregated at a higher level than that provided by the funding level descriptions. Tasks should be organized into the various funding levels in accordance with the level descriptions for various categories of work outlined in Table C-2.3. For simplicity, only individual tasks or a collection of related equivalent-priority tasks within a category at a level that can be considered one discrete element are defined as a work package. A work package can be a single task or group of related and equivalent-priority tasks, encompassing both primary and supporting costs, by definition. In order to minimize data entry, districts are encouraged requested to consolidate equivalent baseline level tasks that are performed on a routine basis each year. Priorities will be assigned to each work package. Ranking of individual work packages will be assigned by the district and MSC within each level. No ranking across levels is allowed; e.g., all baseline work packages will be ranked higher than the highest-ranked *non-deferrable in the program year* package. To better ensure appropriate rank, work packages will contain a code indicating the funding level where the activity belongs. For example, a dredging activity that meets the definition for the *non-deferrable in the program year* level should be given the funding level code "2".

c. **Preliminary Rankings.** An automatic rank assignment program is a feature of WINABS that can be used as a preliminary step to initiate the MSC ranking process. However, MSC's are cautioned not to use this feature for final rank assignments. This feature is entirely optional and its use is at the discretion of the individual field office. It is not intended to supplant the decision-making process of the organization.

d. **Final Rankings.** Development of final rankings should be an iterative process that employs all the knowledge and support tools available to the decision maker. In developing the national program, HQUSACE will generally rely on the final rankings assigned by the MSC, provided they meet the funding level definitions and overall policy. It is therefore important that rank assignments be made in accordance with the relative importance of the work so as to ensure that the highest priority activities can be accomplished within available resource limits. Ranking of work items within the *non-deferrable in the program year* and deferrable levels will follow the priorities for operation and maintenance work items as discussed in Paragraph C-2.2. To preserve the integrity of the program process, it is essential that districts and MSCs adhere strictly to the funding level definitions presented in Paragraph C-2.4. Artificial assignment of funding levels to individual work packages (e.g., using the program target as the automatic line of demarcation between the non-deferrable and deferrable levels) is not acceptable; each work package should be assigned to the appropriate funding level based on consistent and objective application of the funding level definitions.

C-2.9. Condition Indices (CI's).

a. CI's are an important management tool that, coupled with other decision-making criteria, can help to optimize the effective use of limited resources. CI's are numerical indicators of the condition of equipment and structures that provide a quantitative and consistent means of describing their condition. -They will enhance our ability to establish priorities and to justify maintenance requirements. Further information on CI's, and their relationship to maintenance management systems in general, can be found in various publications issued in connection with the *Repair Evaluation, Maintenance and Rehabilitation (REMR) Research Program*.

b. Technical notes are available from the Waterways Experiment Station (WES) that explain the procedures for determining CI's on structures for which a CI methodology have been developed. Copies of these publications may be obtained from CEWS-SC-A(WES).

c. CI procedures ~~are being~~have been developed at the individual component level, (e.g., a miter lock gate, steel sheet pile structure, etc.). This generally lends itself to the work packages used to describe maintenance requirements in the Windows - Automated Program System (WINABS). Therefore, a CI ~~should~~may be entered for each work package record for which a CI procedure has been developed ~~in the following Work Category Codes.:~~ This is not mandatory, but it will help to strengthen the justification for funding if the CI is identified in the funding argument.

~~C-2.10. Navigation-Quadrant.~~

~~a. Use of NAVIGATION-QUADRANT (NAV-QUAD) is mandatory for all districts and operating MSC's with active Corps-maintained commercial navigation locks (barge traffic only). NAV-QUAD is an important management tool that provides economic information for prioritizing annual non-routine maintenance at commercial navigation locks in order to optimize the effective use of limited resources. The net benefit value produced through the use of NAV-QUAD is used to initially rank work packages for each commercial navigation project at the district level. NAV-QUAD does not replace expert judgement, but supplements it; packages may be re-ranked if appropriate. While districts and MSCs use NAV-QUAD to prioritize their commercial navigation lock work packages, HQUSACE uses its results to justify the Corps O&M, General program request and to quantify impacts due to any increases or reductions in the recommended funding level. Further information on NAV-QUAD and how to use the software can be found in the Navigation Quadrant Version 2.0 User's Manual.~~

~~b. NAV-QUAD will be applied to all commercial navigation lock structures which are utilized by barge traffic. Procedures outlined within NAV-QUAD do not have to be applied to the baseline (level 1). They are intended for use within the non-deferrable in the program year and deferrable levels (levels 2 and 3) for WCC 61110 maintenance packages having a minimum cost of \$100,000. NAV-QUAD is not intended for multi-year or multi-lock maintenance work packages. NAV-QUAD is intended as a management tool for single year, single lock, work package funding requirements.~~

~~c. The output measure from the NAV-QUAD analysis to be used in WINABS is Net Navigation Benefits. This output measure may be included for each lock navigation maintenance work package (WCC 61110) within levels 2 and 3, but as a minimum it must be included for those packages falling within 10 percent above or below your anticipated funded level. The Net Navigation Benefit value will be included in the WINABS field established for output indicator codes.~~

C-2.140. **FourFive-year Program.** To assist districts in preparing their ~~unaccomplished maintenance program,~~ future work program and reducing backlog, a methodology has been developed that establishes a ~~four~~five-year horizon for planning purposes. This methodology is optional and is presented here as a tool that

can be used at the discretion of the district. The district has the latitude to use this methodology, variations of it, or other methods to aid in the goal to reduce the backlog. ~~Four~~Five-year programs for the PY and ~~three~~four years following the program year (PY+1, PY+2, ~~and~~ PY+3 and PY+4) should be developed so as to have a realistic mid-range plan for the accomplishment of large ~~backlog~~ UMAR work packages as illustrated in the diagram on the following page. After estimating the amount of anticipated funding available, specific PY ~~UMAR~~backlog work packages are scheduled in the out-years. Districts can overprogram by three percent of anticipated total funding in order to plan for the accomplishment of additional work packages should funding become available, however, each subsequent year's schedule is prepared under the assumption that only the funded portion would actually be accomplished in any year. In this way the benefits of planning for what could be accomplished in the event of additional funding can be derived without distorting the latter years of the ~~four~~five-year program. The objective is to systematically reduce ~~UMAR~~backlog in an efficient manner by extending the detailed planning horizon for accomplishing large ~~UMAR~~backlog work packages beyond the PY program in accordance with the guidance presented below.

a. **~~Four~~Five-year Funding Estimation.** Funding estimates (in PY dollars) can be prepared for each of the categories presented below using the worksheet shown in Illustration C-2.3:

(1) **Total Funded Amount.** This represents the total O&M funding anticipated for the PY and each of the ~~three~~four out-years. Total funding will be estimated by applying the following factors to the total funded amount in the MSC program submittal for the PY:

| YEAR | FACTOR |
|------|--------|
| PY+1 | 0.98 |
| PY+2 | 0.96 |
| PY+3 | 0.94 |
| PY+4 | 0.92 |

(2) **Baseline.** This includes the baseline funding requirements for the PY adjusted for specific reductions or new baseline requirements that are anticipated to occur each year through PY+~~3~~4.

(3) **Cyclic.** This includes the specific cyclic work scheduled each year through PY+~~3~~4, including periodic inspections, periodic maintenance, etc.

Items (4) and (5) may be estimated using district and MSC discretion, however, a five-year moving average is recommended as an initial estimating methodology.

(4) **Continuing Contracts.** This amount represents the amount of continuing contracts funded each year through PY+~~3~~4.

(5) **New Requirements.** This category simply represents the portion of each year's funded program through PY+~~3~~4 for work packages that were not included in the previous year's program submittal. A comparison of the PY submittal to the PY-1 submittal should be performed in order to identify the amount of new requirements in the PY submittal. This includes work items which were first identified since the previous year's program submittal was prepared (e.g., as the result of an inspection) and that are of high-enough priority to be included in the subsequent year's funded program. (This does not include emergency requirements which are funded via reprogramming as they occur). This category also includes ~~maintenance or repair~~ work items for which the demonstrated need or deficiency was not adequate to be a justified work package in the previous year's submittal, but which have deteriorated, or increased in program priority, during the course of the year since the previous PY submittal to the point that they merit funding in the subsequent PY submittal.

(6) **Funded UMARBacklog**. This represents the amount of discretionary funding anticipated to be available to fund PY UMARbacklog work packages each year through PY+34. This amount is calculated by subtracting Items (2) through (5) from Item (1) above. (A negative number may result, indicating that no funds are available to fund PY UMARBacklog items in this out-year).

(7) **Overprogrammed UMARBacklog (Three Percent of Total Funding or \$1 Million)**. Districts and MSCs will be allowed to overprogram by an amount equal to three percent of the estimated funded program (from Item 1 above), or \$1 million, whichever is greater, in each year through PY+34.

(8) **Total Scheduled UMARBacklog**. The total amount available for scheduling UMARbacklog work packages equals the funded amount calculated for Item 6 plus the overprogrammed amount calculated in Item (7) above.

b. **FourFive-year UMARBacklog Program Preparation**. The fourfive-year program can be prepared by districts and MSC's using the schedule format displayed in Illustration C-2.4. A separate schedule should be prepared for each year through PY+34. Each schedule should be completed in accordance with the following guidance.

(1) The totals for Items (1) through (5) for PY+1 from the Worksheet for FourFive-year Program (shown in Illustration C-2.3 and described in C.2.11.a above) will be entered in Lines 1 through 5 of the FourFive-year UMARBacklog Program for PY+1. A subtotal for Lines 2 through 5 is then calculated.

(2) UMARBacklog work packages from the PY submittal will be scheduled in Line 6 in order of priority until no additional UMARbacklog work packages can be funded within the PY+1 "Funded UMARBacklog" total (calculated in Line 6 of the funding estimation worksheet). Individual funded UMARbacklog work packages of \$100,000 or greater will be entered as separate line items in order of priority starting with Line 6a. Individual funded UMARbacklog work packages that are less than \$100,000 will be totaled and entered as a single "Funded UMARBacklog Packages less than \$100,000" line item. The sum of all funded UMARbacklog work packages will be entered as the "Total Funded UMARBacklog Packages" for Line 6. (This represents the amount by which the PY UMARbacklog can be reduced if the district/MSC receives the total O&M funding anticipated for PY+1). The sum of Lines 2 through 6 should be equal to, or slightly less than, the "FUNDED TOTAL" shown in Line 1.

(3) Overprogrammed UMARbacklog work packages from the PY submittal will be scheduled in Line 7 in order of priority, starting with the first UMARbacklog package following Step (2) above, until no additional UMARbacklog work packages can be funded within the PY+1 "Overprogrammed UMARBacklog" total (calculated in Line 7 of the funding estimation worksheet). Again, individual funded UMARbacklog work packages of \$100,000 or greater will be entered as separate line items in order of priority starting with Line 7a. Individual funded UMARbacklog work packages that are less than \$100,000 will be totaled and entered as a single "Overprogrammed UMARBacklog Packages less than \$100,000" line item. (This represents the amount by which the PY UMARBacklog could be further reduced if the district/MSC were to receive an additional three percent in total funding). The sum of all overprogrammed UMARbacklog work packages will be entered as the "Total Overprogrammed UMARBacklog Packages" for Line 7. The total (funded and overprogrammed) scheduled UMARbacklog in PY+1 will be entered as the "Total Scheduled UMARBacklog" in Line 8, and should be equal to, or slightly less than, the "Total Scheduled UMARBacklog" amount calculated in Line 8 of the funding estimation worksheet for PY+1.

(4) Steps (1) through (3) above will be repeated to complete the PY+2 and PY+3 FourFive-year Program Schedules, with the following exception. In preparing the Funded UMARBacklog portion of the schedule for PY+2, for example, the first overprogrammed package from Line 7 of the PY+1 Schedule becomes the first package scheduled in Line 6 of the PY+2 Schedule.

C-2.121. **Navigation Projects.** Beginning in FY 1987, all shallow-draft harbors previously financed as a part of a through-waterway in the inland river systems were, and will continue to be, programmed as separate projects. These projects include all activities on each spur or side channel of the old project and exclude only those activities on the main through channel. For the PY when additional projects are identified, districts should call HQUSACE (CECW-O) for a PWID number, if needed.

C-2.132. **Marginal Projects.** For projects, or segments of projects, that have marginal benefits, special care should be taken to ensure that all resource requests are economically justified. If sufficient study detail is not yet available to develop appropriate funding recommendations, program requests should be held to levels at or, preferably, below historic amounts. Major repairs not essential to structural integrity in the PY should be postponed. Operation activities should be constrained to the lowest level possible but should avoid extreme, adverse impacts on project users.

C-2.143. **Evaluation Reports.** Evaluation Reports for Major Rehabilitation and Dam Safety Assurance are to be funded under the O&M account. See Sub-appendix B-2, for additional guidance regarding the Major Rehabilitation and Dam Safety Assurance Programs. Guidance for resourcing pre-construction E&D is as follows:

a. **Major Rehabilitation Program.** After the Evaluation Report has been approved, pre-construction E&D may be included in the Construction, General (CG) program request at the earliest opportunity. Until such program request can be made and funds appropriated under CG, field offices may program O&M funds to perform E&D.

b. **Dam Safety Assurance Program.** See Appendix B for information on resourcing.

C-2.154. **Cultural Resources.** Funding requirements for activities to ensure compliance with the Native American Graves Protection and Repatriation Act (NAGPRA) (PL 101-601) should not be included in program submittal. Specific guidance will be provided at a later date on how and when to make requests for funding of activities to ensure compliance with the NAGPRA. This is a result of the creation of the Mandatory Center of Expertise (MCX) to handle NAGPRA compliance and curation of cultural resources. All of the requirements will be aggregated by HQUSACE (CECW-O) into the program as a separate line item. All curation costs, other than NAGPRA, should be included in the appropriate wWork eCategory eCode,

C-2.165. **Special Recreation Use Fees (SRUF).** ~~Funds generated from collecting these fees can be used to supplement the costs to operate, maintain, and, when feasible from a program management standpoint, improve recreation facilities. Overall program management limitations should be carefully considered in determining what activities can be financed with these funds. Funds generated from collecting recreation use fees are returned in O&M, General appropriations for operation, maintenance and improvement of recreation sites and facilities. The construction of new recreation facilities or renovation and/or improvement of existing facilities may be accomplished with these funds if the goal of providing quality public recreation experiences with the most cost efficient management of water resource development projects can be met. Overall budgetary limitations should be carefully considered in determining what activities will be financed with these funds. Routine operation and maintenance of existing sites and facilities should not be compromised to finance new construction or facility improvements. SRUF funded work previously programmed in WCC 60512 and 61512 should now be programmed in WCC 60511 and 61511.~~

C-2.176. **Challenge Partnerships (Challenge Cost Share).** Challenge partnerships are opportunities for public and non-Federal groups and individuals to contribute to and participate in the operation and/or maintenance of recreation facilities and natural resources at Corps projects. These opportunities may consist of

identification, protection, improvement, rehabilitation, preservation, management, or interpretation of natural resources, environmental features, recreation areas and facilities, or cultural resources. Challenge Partnering with others provides a way to leverage the Corps program by sharing the cost of operation and/or managing recreation facilities and natural resources. Policy guidance for the Challenge Partnership program is contained in ER 1130-2-500.

C-2.187. **On-Board Review.** HQUSACE (CECW-BC) may conduct an on-board review in early July. MSC's will be selected at random. Any selected MSC's will be asked to explain the overall priorities used in developing the program request, along with an in-depth examination of work packages on selected projects. Any selected MSC will be notified in June.

C-2.198. **Narrative and Supporting Data.**

a. **Justification of Estimates.**

Congressional Submission. Each MSC shall prepare and submit *Justification of Estimate* sheets based on amounts provided by CECW-OM for the project, using the format in Illustration C-2.5, in final form. To avoid illogical precision, no amounts should be rounded to less than \$1,000, using the 5/4 rule. This is a widely read document. To preclude misinterpretations by Congressional and other reviewers, do not use vague, stereotyped, descriptions in the Reason for Change and Maintenance Item column. Standard phraseology is acceptable, if used judiciously, such that the descriptions are clear and understandable to the reader. Be as specific as possible using a condensed version of what the testifying officer would answer if asked by the Sub-Committee the reason for changes from prior year. The tone of statements must reflect a full support of the President's Program request with no hints that amounts may not be adequate. Accordingly, a remark explaining higher amounts is preferable. The typed material in the body will be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right sides and 0.607 inch margins at the top and bottom of an 11 X 8-1/2 inch page size. Justification sheets must be submitted as **Microsoft Word WordPerfect** documents over the Corps Mail Network or by computer diskettes. ASCII format is not acceptable because it deletes WordPerfect control codes for formatting. In addition, Project status maps are required for all Major Rehabilitation work that is still being funded under the O&M, General, appropriation. ~~Notwithstanding a proposed Corps-wide conversion to a standard word-processing software package and e-mail system some time this calendar year, instructions presented herein must be adhered to pending annual detailed guidance for the preparation of Congressional Justification of Estimates Sheets to be published as a separate action by CECW-BC.~~

To avoid allocation problems associated with roll-ups, projects spanning more than one district should be entered separately with titles showing the district name, for example:

OHIO RIVER LOCKS AND DAMS, PA (Pittsburgh Dist.)
OHIO RIVER LOCKS AND DAMS, WV (Huntington Dist.)
OHIO RIVER LOCKS AND DAMS, KY, IL, IN, OH, & WV (Louisville Dist.)

(Other projects include Ohio River Open Channel Work, McClellan Kerr, Missouri River and the Upper Mississippi River or district-wide activities such as Inspection of Completed Works or Scheduling Reservoir Activities) If a state is included in more than one district, only the primary district should show that state in the title.

~~b. **BY-3 Cost Report.** A computer program - Program 203P558C - is available that will extract prior year cost information from the COEMIS data base and put it into an extract file. Each district or MSC office will run this program against the End of PY-3 72B Extract Tape created from the COEMIS Finance and Accounting Subsystem data base. Districts will electronically transmit the extract file of card images produced by this~~

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program to the CEAP WPC21 processor. Instructions for execution of Program 203P558C will be furnished by HQUSACE by separate correspondence.

Single State Designation for Inspection of Completed Works (ICW), Project Condition Surveys (PCS), Scheduling Reservoir Operations (SRO) and Surveillance of Northern Boundary Waters (SNBW). Each of these programs shall be represented by a single work package per district. In those cases where these programs are performed in more than one state, the district shall designate a primary state and include all costs under that single primary state.

C-2.2019. **Additional Information**

a. **Database System.** The CEAP WPC21 processor in Portland, OR will be used to submit data to the automated O&M program system.

b. **Correction of Program Submittals.** As in past years, districts and MSCs will be asked to make any necessary corrections through automated program systems after HQUSACE review. If a district or MSC is asked to make corrections, the data base will be reopened to allow access for updating.

c. **Points of Contact.**

| <u>Question(s) Referring To</u> | <u>Office</u> | <u>Telephone</u> |
|--|----------------------|---|
| Policies, procedures, or format of the Project O&M activity. | CECW-BC | 202-761-0799 fax 202-761-0184 |
| ADP input for the same activity | CECW-BC | 202-761-0282 fax 202-761-1779 |
| Programs Management staff coordination of Congressional submission of the O&M program. | CECW-BC | 202-761-07992 fax 202-761-0184 (e-mail preferred) |
| Curation\Native American Graves Protection Act (NAGPRA) | CECW-ON | 202-761-1791 |
| Condition Indices guidance. Technical notes. | CEWS-SC-A | 601-634-2585 fax 601-634-2873 |

C-2.2420. **Submission Requirements.** Submission time schedules for automated data and hard copies are listed in Paragraph 11 of the main text.

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|--|
| WORK CATEGORY CODE | DESCRIPTION |
| 601-- ^{1/} | Operation for Navigation Functions |
| 60110 ** | Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Navigation |
| 60120 ^{1/} | Studies and Surveys for Navigation |
| 60121* | Studies and Surveys |
| 60122 | Major Rehabilitation Evaluation Reports |
| 60123 | Environmental Studies and Monitoring for Dredging Purposes |
| 60130 ^{1/} | Dam Safety for Navigation |
| 60131** | Instrumentation, Data Collection and Analysis |
| 60132* | Formal Periodic Inspections and Reports |
| 60133 | Dam Safety Assurance Studies |
| 60140 ^{1/} | Water Management (Control and Quality) Activities for Navigation |
| 60141 | Water Management (Control and Quality) Activities - Analysis and Studies for Navigation |
| 60142 | Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Navigation |
| 60150* | Real Estate Management for Navigation |
| 60160 | Environmental Compliance Management for Navigation |
| 602-- ^{1/} | Operation for Flood Damage Reduction Functions |
| 60210** | Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction |
| 60220 ^{1/} | Studies and Surveys for Flood Damage Reduction |
| 60221 | Studies and Surveys |
| 60222 | Major Rehabilitation Evaluation Reports |
| 60223* | Inspections of Completed Works - Local Protection Projects |
| 60230 ^{1/} | Dam Safety for Flood Damage Reduction |
| 60231** | Instrumentation, Data Collection and Analysis |
| 60232* | Formal Periodic Inspections and Reports |
| 60233 | Dam Safety Assurance Studies |
| 60240 ^{1/} | Water Management (Control and Quality) Activities for Flood Damage Reduction |
| 60241 | Water Management (Control and Quality) Activities - Analysis and Studies for Flood Damage Reduction |
| 60242 | Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Flood Damage Reduction |
| 60250* | Real Estate Management for Flood Damage Reduction |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|---|
| WORK CATEGORY CODE | DESCRIPTION |
| 60260 | Environmental Compliance Management for Flood Damage Reduction |
| 603-- ^{1/} | Operation for Hydropower Functions |
| 60310 ^{1/} | Operation of Dams, Power Plants, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower |
| 60311** | Operations - Supervision and Engineering |
| 60312** | Hydraulic Expenses |
| 60313** | Electric Expenses |
| 60314** | Miscellaneous Hydraulic Power Generation Expenses |
| 60320 ^{1/} | Studies and Surveys for Hydropower |
| 60321 | Studies and Surveys - Supervision and Engineering |
| 60322 | Studies and Surveys - Hydraulic Expenses |
| 60323 | Studies and Surveys - Electric Expenses |
| 60324 | Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses |
| 60325 | Major Rehabilitation Evaluation Reports |
| 60330 ^{1/} | Dam Safety for Hydropower |
| 60331** | Instrumentation, Data Collection and Analysis |
| 60332* | Formal Periodic Inspections and Reports |
| 60333 | Dam Safety Assurance Studies |
| 60340 ^{1/} | Water Management (Control and Quality) Activities for Hydropower |
| 60341 | Water Management (Control and Quality) Activities - Analysis and Studies for Hydropower |
| 60342 | Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Hydropower |
| 60350* | Real Estate Management for Hydropower |
| 60360 | Environmental Compliance Management for Hydropower |
| 604-- ^{1/} | Operation for Environmental Stewardship Functions |
| 60410 ^{1/} | Operation for Environmental Stewardship |
| 60411 | Management of Natural Resources |
| 60412 | Management and Curation of Archeological and Cultural Resources |
| 60413 | Management of Wildlife Mitigation Features |
| 60414 | Fisheries Management - Operation of Fish Hatcheries |
| | |
| 60415 | Fisheries Management - Fish Hauling Activities and Fish Passage Structures |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|---|
| WORK CATEGORY CODE | DESCRIPTION |
| 60416 | Comprehensive Master Plans |
| 60420 | Studies and Surveys for Environmental Stewardship |
| 60430 | Reserved |
| 60440 ^{1/} | Water Management (Control and Quality) Activities for Environmental Stewardship |
| 60441 | Water Management (Control and Quality) Activities - Analysis and Studies for Environmental Stewardship |
| 60442 | Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Environmental Stewardship |
| 60450* | Real Estate Management for Environmental Stewardship |
| 60460 | Environmental Compliance Management for Environmental Stewardship |
| 605-- ^{1/} | Operation for Recreation Functions |
| 60510 ^{1/} | Operation for Recreation |
| 60511** | Operation/management of Recreation Areas/facilities, Visitor Centers, Reservoirs, Service Facilities and Equipment, Etc. for Recreation |
| 60513 | Law Enforcement - Costs and Supervision of Law Enforcement Agreements |
| 60520 | Studies and Surveys for Recreation |
| 60530 | Reserved |
| 60540 ^{1/} | Water Management (Control and Quality) Activities for Recreation |
| 60541 | Water Management (Control and Quality) Activities - Analysis and Studies for Recreation |
| 60542 | Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Recreation |
| 60550* | Real Estate Management for Recreation |
| 60560 | Environmental Compliance Management for Recreation |
| 606-- ^{1/} | Joint Activities for Operations |
| 60610** | Joint Costs for Operations Activities |
| 60620 ^{1/} | Joint Costs for Studies and Surveys |
| 60621* | Joint Costs for Studies and Surveys |
| 60622 | Joint Costs for Major Rehabilitation Evaluation Reports |
| 60630 ^{1/} | Joint Costs for Dam Safety Activities |
| 60631** | Joint Costs for Instrumentation, Data Collection and Analysis |
| 60632* | Joint Costs for Formal Periodic Inspections and Reports |
| 60633 | Joint Costs for Dam Safety Assurance Studies |
| 60640 ^{1/} | Joint Costs for Water Management (Control and Quality) Activities |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|--|
| WORK CATEGORY CODE | DESCRIPTION |
| 60641 | Joint Costs for Water Management (Control and Quality) Activities – Analysis and Studies |
| 60642 | Joint Costs for Water Management (Control and Quality) Activities – Operation of Water Control Data Systems |
| 60650* | Joint Costs for Real Estate Management Activities |
| 60660 | Joint Costs for Environmental Compliance Management Activities |
| 60710 ^{1/} | National Emergency Preparedness Program (NEPP) |
| 60711 | NEPP Management and Operations Continuity of Operations |
| 60712 | NEPP Requirements Analysis and Studies National Preparedness Planning |
| <u>60713</u> | <u>NEPP Support of Emergency Ops Ctrs</u> |
| <u>60714</u> | <u>NEPP Emergency Water Program</u> |
| <u>60715</u> | <u>NEPP Continuity of Government</u> |
| <u>60716</u> | <u>NEPP Training and Exercises</u> |
| 611-- ^{1/} | Maintenance for Navigation Functions |
| 61110 | Maintenance of Locks, Dams, Reservoirs, Levees, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Navigation |
| 61120 ^{1/} | Dredging for Navigation |
| 61121 | Dredging Activities for Navigation |
| 61122 | Construction and Maintenance of Dredged Material Disposal Facilities for Navigation |
| 61130 | Reserved |
| 61140 | Purchase/maintenance of Water Management (Control and Quality) Equipment for Navigation |
| 61150 ^{1/} | Real Estate for Navigation |
| 61151 | Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Navigation |
| 61152 | Resolution of Real Estate Encroachments for Navigation |
| 61153 | Boundary Monumentation and Rectification for Navigation |
| 61160 | Environmental Compliance (Remedial Actions) for Navigation |
| 61170 | Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Navigation |
| 612-- ^{1/} | Maintenance for Flood Damage Reduction Functions |
| 61210 ^{1/} | Maintenance for Flood Damage Reduction |
| 61211 | Maintenance of Dams, Reservoirs, Other Structures, Service Facilities, permanent Operating Equipment, Etc. for Flood Damage Reduction |
| 61212 | Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|--|
| WORK CATEGORY CODE | DESCRIPTION |
| | the Mississippi River and Tributaries (MR&T) |
| 61220 ^{1/} | Dredging for Flood Damage Reduction |
| 61221 | Dredging Activities for Flood Damage Reduction |
| 61222 | Construction and Maintenance of Dredged Material Disposal Facilities for Flood Damage Reduction |
| 61230 | Reserved |
| 61240 | Purchase/maintenance of Water Management (Control and Quality) Equipment for Flood Damage Reduction |
| 61250 ^{1/} | Real Estate for Flood Damage Reduction |
| 61251 | Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Flood Damage Reduction |
| 61252 | Resolution of Real Estate Encroachments for Flood Damage Reduction |
| 61253 | Boundary Monumentation and Rectification for Flood Damage Reduction |
| 61260 | Environmental Compliance (Remedial Actions) for Flood Damage Reduction |
| 613-- ^{1/} | Maintenance for Hydropower Functions |
| 61310 ^{1/} | Baseline Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower |
| 61311 | Baseline Maintenance Supervision for Hydropower |
| 61312 | Baseline Maintenance of <u>Hydraulic</u> Structures for Hydropower |
| 61313 | Baseline Maintenance of Electric Plant for Hydropower |
| 61314 | Baseline Maintenance of Miscellaneous Hydraulic Plant for Hydropower |
| 613n0 ^{1/} | Non-baseline Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower |
| 613n1 | Non-baseline Maintenance Supervision for Hydropower |
| 613n2 | Non-baseline Maintenance of <u>Hydraulic</u> Structures for Hydropower |
| 613n3 | Non-baseline Maintenance of Electric Plant for Hydropower |
| 613n4 | Non-baseline Maintenance of Miscellaneous Hydraulic Plant for Hydropower |
| 61320 | Dredging Activities for Hydropower |
| 61330 | Reserved |
| 61340 | Purchase/maintenance of Water Management (Control and Quality) Equipment for Hydropower |
| 61350 ^{1/} | Real Estate for Hydropower |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|---|
| WORK CATEGORY CODE | DESCRIPTION |
| 61351 | Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Hydropower |
| 61352 | Resolution of Real Estate Encroachments for Hydropower |
| 61353 | Boundary Monumentation and Rectification for Hydropower |
| 61360 | Environmental Compliance (Remedial Actions) for Hydropower |
| 61370 ^{1/} | Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Hydropower |
| 61371 | Comprehensive Replacement Supervision |
| 61372 | Comprehensive Replacement of Structures |
| 61373 | Comprehensive Replacement of Electric Plant |
| 61374 | Comprehensive Replacement of Miscellaneous Hydraulic Plant |
| 614-- ^{1/} | Maintenance for Environmental Stewardship Functions |
| 61410 ^{1/} | Maintenance for Environmental Stewardship |
| 61411 | Maintenance of Natural Resources Facilities |
| 61412 | Mitigation of Archeological and Cultural Resources |
| 61413 | Maintenance of Wildlife Mitigation Features |
| 61414 | Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures |
| 61420 ^{1/} | Dredging for Environmental Stewardship |
| 61421 | Dredging Activities for Environmental Stewardship |
| 61422 | Construction and Maintenance of Dredged Material Disposal Facilities for Environmental Stewardship |
| 61430 | Reserved |
| 61440 | Purchase/maintenance of Water Management Equipment (Control and Quality) for Environmental Stewardship |
| 61450 ^{1/} | Real Estate for Environmental Stewardship |
| 61451 | Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Environmental Stewardship |
| 61452 | Resolution of Real Estate Encroachments for Environmental Stewardship |
| 61453 | Boundary Monumentation and Rectification for Environmental Stewardship |
| 61460 | Environmental Compliance (Remedial Actions) for Environmental Stewardship Features |
| 615-- ^{1/} | Maintenance for Recreation Functions |
| 61510 ^{1/} | Maintenance for Recreation |
| 61511 | Maintenance of Recreation Facilities, Visitor Centers, Other Operating Equipment, Etc. |

| TABLE C-2.1 WORK CATEGORY CODES - NUMERICALLY ORDERED (See footnotes at end of Table) | |
|---|--|
| WORK CATEGORY CODE | DESCRIPTION |
| 61513 | Cost Shared Recreation Developments |
| 61520 | Dredging Activities for Recreation |
| 61530 | Reserved |
| 61540 | Purchase/maintenance of Water Management Equipment (Control and Quality) for Recreation |
| 61550 ^{1/} | Real Estate for Recreation |
| 61551 | Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Recreation |
| 61552 | Resolution of Real Estate Encroachments for Recreation |
| 61553 | Boundary Monumentation and Rectification for Recreation |
| 61560 | Environmental Compliance (Remedial Actions) for Recreation |
| 616-- ^{1/} | Joint Activities for Maintenance |
| 61610 | Joint Costs for Maintenance Activities Excluding Dredging |
| 61620 ^{1/} | Joint Costs for Dredging |
| 61621 | Joint Costs for Dredging Activities |
| 61622 | Joint Costs for Construction and Maintenance of Dredged Material Disposal Facilities |
| 61630 | Reserved |
| 61640 | Joint Costs for Water Management Equipment Activities |

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| | |
|---------------------|---|
| 61650 ^{1/} | Joint Costs for Real Estate Activities |
| 61651 | Joint Costs for Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits |
| 61652 | Joint Costs for Resolution of Real Estate Encroachments |
| 61653 | Joint Costs for Boundary Monumentation and Rectification |
| 61660 | Joint Costs for Environmental Compliance (Remedial Actions) Activities |

1/ SUMMARY COST ACCOUNT/WORK CATEGORY - COSTS MAY NOT BE CHARGED DIRECTLY TO THESE ACCOUNTS.

*Feature Cost Codes marked with an asterisk require added data in project work description, justification statement, or output measures. See Table C-2.5.

**Although Feature Cost Codes marked with double asterisk require no description or funding argument, requested resources will be in consonance with funding level definition and prior year experience.

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

| DESCRIPTION | WORK CATEGORY CODE |
|--|---------------------|
| Baseline Maintenance Supervision for Hydropower | 61311 |
| Baseline Maintenance of Miscellaneous Hydraulic Plant for Hydropower | 61314 |
| Baseline Maintenance of Electric Plant for Hydropower | 61313 |
| Baseline Maintenance of <u>Hydraulic</u> Structures for Hydropower | 61312 |
| Baseline Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower | 61310 ^{1/} |
| Boundary Monumentation and Rectification for Hydropower | 61353 |
| Boundary Monumentation and Rectification for Navigation | 61153 |
| Boundary Monumentation and Rectification for Environmental Stewardship | 61453 |
| Boundary Monumentation and Rectification for Flood Damage Reduction | 61253 |
| Boundary Monumentation and Rectification for Recreation | 61553 |
| Comprehensive Replacement of Miscellaneous Hydraulic Plant | 61374 |
| Comprehensive Replacement Supervision | 61371 |
| Comprehensive Replacement of Electric Plant | 61373 |
| Comprehensive Replacement of Structures | 61372 |
| Comprehensive Master Plans | 60416 |
| Construction and Maintenance of Dredged Material Disposal Facilities for Flood Damage Reduction | 61222 |
| Construction and Maintenance of Dredged Material Disposal Facilities for Environmental Stewardship | 61422 |
| Construction and Maintenance of Dredged Material Disposal Facilities for Navigation | 61122 |
| Cost Shared Recreation Developments | 61513 |
| Dam Safety for Hydropower | 60330 ^{1/} |
| Dam Safety Assurance Studies | 60333 |
| Dam Safety for Flood Damage Reduction | 60230 ^{1/} |

| TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED | |
|--|---------------------|
| DESCRIPTION | WORK CATEGORY CODE |
| Dam Safety for Navigation | 60130 ^{1/} |
| Dam Safety Assurance Studies | 60133 |
| Dam Safety Assurance Studies | 60233 |
| Dredging Activities for Flood Damage Reduction | 61221 |
| Dredging Activities for Environmental Stewardship | 61421 |
| Dredging Activities for Recreation | 61520 |
| Dredging for Flood Damage Reduction | 61220 ^{1/} |
| Dredging Activities for Navigation | 61121 |
| Dredging for Environmental Stewardship | 61420 ^{1/} |
| Dredging Activities for Hydropower | 61320 |
| Dredging for Navigation | 61120 ^{1/} |
| Electric Expenses | 60313** |
| Environmental Compliance Management for Flood Damage Reduction | 60260 |
| Environmental Compliance (Remedial Actions) for Recreation | 61560 |
| Environmental Compliance (Remedial Actions) for Navigation | 61160 |
| Environmental Compliance Management for Navigation | 60160 |
| Environmental Compliance (Remedial Actions) for Flood Damage Reduction | 61260 |
| Environmental Compliance (Remedial Actions) for Hydropower | 61360 |
| Environmental Studies and Monitoring for Dredging Purposes | 60123 |
| Environmental Compliance Management for Recreation | 60560 |
| Environmental Compliance Management for Hydropower | 60360 |
| Environmental Compliance Management for Environmental Stewardship | 60460 |
| Environmental Compliance (Remedial Actions) for Environmental Stewardship Features | 61460 |
| Fisheries Management - Operation of Fish Hatcheries | 60414 |

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

| DESCRIPTION | WORK CATEGORY CODE |
|---|---------------------|
| Fisheries Management - Fish Hauling Activities and Fish Passage Structures | 60415 |
| Formal Periodic Inspections and Reports | 60232* |
| Formal Periodic Inspections and Reports | 60332* |
| Formal Periodic Inspections and Reports | 60132* |
| Hydraulic Expenses | 60312** |
| Inspections of Completed Works - Local Protection Projects | 60223* |
| Instrumentation, Data Collection and Analysis | 60131** |
| Instrumentation, Data Collection and Analysis | 60231** |
| Instrumentation, Data Collection and Analysis | 60331** |
| Joint Costs for Dredging | 61620 ^{1/} |
| Joint Costs for Dredging Activities | 61621 |
| Joint Costs for Construction and Maintenance of Dredged Material Disposal Facilities | 61622 |
| Joint Activities for Maintenance | 616-- ^{1/} |
| Joint Costs for Maintenance Activities Excluding Dredging | 61610 |
| Joint Costs for Water Management Equipment Activities | 61640 |
| Joint Costs for Studies and Surveys | 60621* |
| Joint Costs for Environmental Compliance (Remedial Actions) Activities | 61660 |
| Joint Costs for Boundary Monumentation and Rectification | 61653 |
| Joint Costs for Environmental Compliance Management Activities | 60660 |
| Joint Costs for Real Estate Management Activities | 60650* |
| Joint Costs for Real Estate Activities | 61650 ^{1/} |
| Joint Costs for Studies and Surveys | 60620 ^{1/} |
| Joint Costs for Water Management (Control and Quality) Activities - Operation of Water Control Data Systems | 60642 |

| TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED | |
|---|---------------------|
| DESCRIPTION | WORK CATEGORY CODE |
| Joint Costs for Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits | 61651 |
| Joint Costs for Water Management (Control and Quality) Activities - Analysis and Studies | 60641 |
| Joint Costs for Water Management (Control and Quality) Activities | 60640 ^{1/} |
| Joint Costs for Dam Safety Assurance Studies | 60633 |
| Joint Costs for Formal Periodic Inspections and Reports | 60632* |
| Joint Costs for Instrumentation, Data Collection and Analysis | 60631** |
| Joint Costs for Resolution of Real Estate Encroachments | 61652 |
| Joint Costs for Dam Safety Activities | 60630 ^{1/} |
| Joint Costs for Major Rehabilitation Evaluation Reports | 60622 |
| Joint Activities for Operations | 606-- ^{1/} |
| Joint Costs for Operations Activities | 60610** |
| Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Flood Damage Reduction | 61251 |
| Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Environmental Stewardship | 61451 |
| Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Navigation | 61151 |
| Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Recreation | 61551 |
| Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for Hydropower | 61351 |
| Law Enforcement - Costs and Supervision of Law Enforcement Agreements | 60513 |
| Maintenance of Natural Resources Facilities | 61411 |
| Maintenance for Environmental Stewardship | 61410 ^{1/} |
| Maintenance for Environmental Stewardship Functions | 614-- ^{1/} |
| | |

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

| DESCRIPTION | WORK CATEGORY CODE |
|--|---------------------|
| Maintenance for Hydropower Functions | 613-- ^{1/} |
| Maintenance for Recreation Functions | 615-- ^{1/} |
| Maintenance of Wildlife Mitigation Features | 61413 |
| Maintenance of Dams, Reservoirs, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction | 61211 |
| Maintenance for Flood Damage Reduction Functions | 612-- ^{1/} |
| Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for the Mississippi River and Tributaries (MR&T) | 61212 |
| Maintenance for Navigation Functions | 611-- ^{1/} |
| Maintenance of Locks, Dams, Reservoirs, Levees, Other Structures, Service Facilities, Permanent Operating Equipment, Etc. for Navigation | 61110 |
| Maintenance for Recreation | 61510 ^{1/} |
| Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures | 61414 |
| Maintenance for Flood Damage Reduction | 61210 ^{1/} |
| Maintenance of Recreation Facilities, Visitor Centers, Other Operating Equipment, Etc. | 61511 |
| Major Rehabilitation Evaluation Reports | 60122 |
| Major Rehabilitation Evaluation Reports | 60325 |
| Major Rehabilitation Evaluation Reports | 60222 |
| Management of Wildlife Mitigation Features | 60413 |
| Management of Natural Resources | 60411 |
| Management and Curation of Archeological and Cultural Resources | 60412 |
| Miscellaneous Hydraulic Power Generation Expenses | 60314** |
| Mitigation of Archeological and Cultural Resources | 61412 |
| National Emergency Preparedness Program (NEPP) | 60710 ^{1/} |
| NEPP Requirements Analysis and Studies | 60712 |
| NEPP Management and Operations | 60711 |

| TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED | |
|---|---------------------|
| DESCRIPTION | WORK CATEGORY CODE |
| <u>NEPP Support of Emergency Ops Ctr</u> | <u>60713</u> |
| <u>NEPP Training and Exercises</u> | <u>60716</u> |
| Non-baseline Maintenance Supervision for Hydropower | 613n1 |
| Non-baseline Maintenance of Power Plants, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower | 613n0 ^{1/} |
| Non-baseline Maintenance of <u>Hydraulic</u> Structures for Hydropower | 613n2 |
| Non-baseline Maintenance of Miscellaneous Hydraulic Plant for Hydropower | 613n4 |
| Non-baseline Maintenance of Electric Plant for Hydropower | 613n3 |
| Operation for Recreation | 60510 ^{1/} |
| Operation/management of Recreation Areas/facilities, Visitor Centers, Reservoirs, Service Facilities and Equipment, Etc. for Recreation | 60511** |
| Operation for Recreation Functions | 605-- ^{1/} |
| Operation for Environmental Stewardship | 60410 ^{1/} |
| Operation for Environmental Stewardship Functions | 604-- ^{1/} |
| Operation of Dams, Power Plants, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Hydropower | 60310 ^{1/} |
| Operation for Hydropower Functions | 603-- ^{1/} |
| Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Flood Damage Reduction | 60210** |
| Operation for Flood Damage Reduction Functions | 602-- ^{1/} |
| Operation of Locks, Dams, Reservoirs, Service Facilities, Permanent Operating Equipment, Etc. for Navigation | 60110 ** |
| Operation for Navigation Functions | 601-- ^{1/} |
| Operations - Supervision and Engineering | 60311** |
| Purchase/maintenance of Water Management (Control and Quality) Equipment for Navigation | 61140 |
| Purchase/maintenance of Water Management (Control and Quality) Equipment for | 61240 |

TABLE C-2.2
WORK CATEGORY CODES - ALPHABETICALLY ORDERED

| DESCRIPTION | WORK CATEGORY CODE |
|--|---------------------|
| Flood Damage Reduction | |
| Purchase/maintenance of Water Management Equipment (Control and Quality) for Environmental Stewardship | 61440 |
| Purchase/maintenance of Water Management Equipment (Control and Quality) for Recreation | 61540 |
| Purchase/maintenance of Water Management (Control and Quality) Equipment for Hydropower | 61340 |
| Real Estate for Hydropower | 61350 ^{1/} |
| Real Estate for Flood Damage Reduction | 61250 ^{1/} |
| Real Estate Management for Hydropower | 60350* |
| Real Estate for Environmental Stewardship | 61450 ^{1/} |
| Real Estate for Navigation | 61150 ^{1/} |
| Real Estate Management for Flood Damage Reduction | 60250* |
| Real Estate for Recreation | 61550 ^{1/} |
| Real Estate Management for Environmental Stewardship | 60450* |
| Real Estate Management for Recreation | 60550* |
| Real Estate Management for Navigation | 60150* |
| Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Hydropower | 61370 ^{1/} |
| Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) Projects for Navigation | 61170 |
| Reserved | 60530 |
| Reserved | 61630 |
| Reserved | 61130 |
| Reserved | 61230 |
| Reserved | 61330 |
| Reserved | 61530 |

| TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED | |
|---|---------------------|
| DESCRIPTION | WORK CATEGORY CODE |
| Reserved | 60430 |
| Reserved | 61430 |
| Resolution of Real Estate Encroachments for Hydropower | 61352 |
| Resolution of Real Estate Encroachments for Navigation | 61152 |
| Resolution of Real Estate Encroachments for Flood Damage Reduction | 61252 |
| Resolution of Real Estate Encroachments for Environmental Stewardship | 61452 |
| Resolution of Real Estate Encroachments for Recreation | 61552 |
| Studies and Surveys for Environmental Stewardship | 60420 |
| Studies and Surveys for Navigation | 60120 ^{1/} |
| Studies and Surveys | 60121* |
| Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses | 60324 |
| Studies and Surveys - Electric Expenses | 60323 |
| Studies and Surveys - Hydraulic Expenses | 60322 |
| Studies and Surveys - Supervision and Engineering | 60321 |
| Studies and Surveys for Flood Damage Reduction | 60220 ^{1/} |
| Studies and Surveys | 60221 |
| Studies and Surveys for Recreation | 60520 |
| Studies and Surveys for Hydropower | 60320 ^{1/} |
| Water Management (Control and Quality) Activities – Operation of Water Control Data Systems for Hydropower | 60342 |
| Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Environmental Stewardship | 60442 |
| Water Management (Control and Quality) Activities for Recreation | 60540 ^{1/} |
| Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Flood Damage Reduction | 60242 |
| Water Management (Control and Quality) Activities - Analysis and Studies for | 60241 |

| TABLE C-2.2 WORK CATEGORY CODES - ALPHABETICALLY ORDERED | |
|--|---------------------|
| DESCRIPTION | WORK CATEGORY CODE |
| Flood Damage Reduction | |
| Water Management (Control and Quality) Activities for Flood Damage Reduction | 60240 ^{1/} |
| Water Management (Control and Quality) Activities - Analysis and Studies for Environmental Stewardship | 60441 |
| Water Management (Control and Quality) Activities for Environmental Stewardship | 60440 ^{1/} |
| Water Management (Control and Quality) Activities - Analysis and Studies for Recreation | 60541 |
| Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Recreation | 60542 |
| Water Management (Control and Quality) Activities - Operation of Water Control Data Systems for Navigation | 60142 |
| Water Management (Control and Quality) Activities - Analysis and Studies for Navigation | 60141 |
| Water Management (Control and Quality) Activities for Navigation | 60140 ^{1/} |
| Water Management (Control and Quality) Activities for Hydropower | 60340 ^{1/} |
| Water Management (Control and Quality) Activities - Analysis and Studies for Hydropower | 60341 |

^{1/} SUMMARY COST ACCOUNT/WORK CATEGORY - COSTS MAY NOT BE CHARGED DIRECTLY TO THESE ACCOUNTS.

*Feature Cost Codes marked with an asterisk require added data in project work description, justification statement, or output measures. See Table C-2.5.

**Although Feature Cost Codes marked with double asterisk require no description or funding argument, requested resources will be in consonance with funding level definition and prior year experience.

TABLE C-2.3
~~BY 1999~~ O&M WORK CATEGORY CODE
MATRIXES AND DEFINITIONS

Tables 2.3a and 2.3b are Operation and Maintenance Work Category Code Matrix sheets. Table 2.3c includes the definitions of the Operation WCCs. Table 2.3d includes the definitions of the Maintenance WCCs.

The major O&M functions are broken down into Work Category Codes, together with a description of work to be performed the pages following the spreadsheet. —JHB

| Table C-2.3a Operation Work Category Code Matrix (by Business Function) | | | | | | |
|--|-----------------------------|---|-----------------------------|--|-----------------------------|---------------------------------------|
| WCC | NAVIGATION 601XX | FLOOD DAMAGE REDUCTION 602XX | HYDROPOWER 603XX | ENVIRONMENTAL STEWARDSHIP 604XX | RECREATION 605XX | JOINT ACTIVITIES 606XX |
| 60X10 | OPERATIONS | OPERATIONS | OPERATIONS | OPERATIONS | OPERATIONS | OPERATIONS |
| 60X20 | STUDIES & SURVEYS | STUDIES & SURVEYS | STUDIES & SURVEYS | STUDIES & SURVEYS | STUDIES & SURVEYS | STUDIES & SURVEYS |
| 60X30 | DAM SAFETY | DAM SAFETY | DAM SAFETY | DAM SAFETY | DAM SAFETY | DAM SAFETY |
| 60X40 | WATER MANAGEMENT | WATER MANAGEMENT | WATER MANAGEMENT | WATER MANAGEMENT | WATER MANAGEMENT | WATER MANAGEMENT |
| 60X50 | REAL ESTATE MANAGEMENT | REAL ESTATE MANAGEMENT | REAL ESTATE MANAGEMENT | REAL ESTATE MANAGEMENT | REAL ESTATE MANAGEMENT | REAL ESTATE MANAGEMENT |
| 60X60 | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE |
| 60X70 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |
| 60X80 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |
| 60X90 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |

| Table C-2.3b Maintenance Work Category Code Matrix (by Business Function) | | | | | | |
|--|------------------------------------|------------------------------------|------------------------------------|---------------------------------------|------------------------------------|------------------------------------|
| WCC | NAVIGATION 611XX | FLOOD DAMAGE REDUCTION 612XX | HYDROPOWER 613XX | ENVIRONMENTAL STEWARDSHIP 614XX | RECREATION 615XX | JOINT ACTIVITIES 616XX |
| 61X10 | MAINTENANCE EXCLUDE DREDGING | MAINTENANCE EXCLUDE DREDGING | MAINTENANCE EXCLUDE DREDGING | MAINTENANCE EXCLUDE DREDGING | MAINTENANCE EXCLUDE DREDGING | MAINTENANCE EXCLUDE DREDGING |
| 61X20 | DREDGING | DREDGING | DREDGING | DREDGING | DREDGING | DREDGING |
| 61X30 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |
| 61X40 | WATER MANAGEMENT EQUIPMENT | WATER MANAGEMENT EQUIPMENT | WATER MANAGEMENT EQUIPMENT | WATER MANAGEMENT EQUIPMENT | WATER MANAGEMENT EQUIPMENT | WATER MANAGEMENT EQUIPMENT |
| 61X50 | REAL ESTATE | REAL ESTATE | REAL ESTATE | REAL ESTATE | REAL ESTATE | REAL ESTATE |
| 61X60 | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE | ENVIRONMENTAL COMPLIANCE |
| 61X70 | REMAINING O&M MAJOR REHAB. | RESERVED | REMAINING O&M MAJOR REHAB. | RESERVED | RESERVED | RESERVED |
| 61X80 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |
| 61X90 | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED | RESERVED |

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

O&M Operations Accounts By Business Function:

Navigation (**601--**)
Flood Damage Reduction (**602--**)
Hydropower (**603--**)
Environmental Stewardship (**604--**)
Recreation (**605--**)
Joint Activities (**606--**)

A Breakdown of Work Category Codes (WCC's) and descriptions under these functions is on the following pages:

WORK CATEGORY CODE: **60110** - Operations for Navigation ~~(includes elements for navigation activities of old Feature Cost Codes 60110, 60120, 60130, 60220, 60230, 60240, 60640, 60742 and 61400)~~

WORK CATEGORY DESCRIPTION: Operations of Locks, Dams, Reservoirs, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for navigation features.

Includes all costs for the operation; ~~and operational maintenance~~; necessary materials, supplies, equipment and transportation costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

of **lock gates and/or associated equipment**; maintaining lock records; removing debris, ice and snow, cleanup of lock facilities; routine adjusting of meters, relays, instruments, radios and regular equipment; lubrication of equipment;

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

of **dam structures and appurtenant equipment** such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes all costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

to **perform reservoir inspections and patrols**, removal and control of trash and debris (major periodic or one-time removal of growth and debris from the reservoir should be recorded in Work Category Code 61110); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and ~~operational routine, recurring~~ maintenance of boundary monumentation at projects without natural resource activities; insect control and elimination of health and safety hazards;

of **project-owned permanent facilities** such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery are charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories. This activity includes costs of buildings, grounds and utilities related to the operation of the Los Angeles-Long Beach and San Francisco Bay hydraulic models located in South Pacific Division and it does not include costs associated with recreation facilities and areas which will be included in Work Category Code 60511;

of **all tools and equipment**, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project-owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

equipment. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles;

for **prevention of obstructive and injurious deposits at NAD projects** as authorized by the ~~a~~Act approved 29 June 1888, as amended, including all costs for surveillance at harbors, channels, waterfront construction sites, and at overboard ocean dumping sites, costs to administer outstanding enforcement actions on prior noted violations of Federal statutes, and any costs required for ground or aerial surveillance.

WORK CATEGORY CODE: **60121** - Studies and Surveys for the Navigation Function (~~Includes elements for navigation activities of old Feature Cost Code 60711~~)

WORK CATEGORY DESCRIPTION: Studies and Surveys including project condition surveys, dredging studies, etc. for navigation features.

Includes all costs to perform surveys for the purpose of determining elevation, grade and sedimentation conditions in navigation projects, investigation of sunken vessels, and to prepare dredging studies. For program management purposes, all projects with funding requirements (dredging or otherwise) under the Baseline or Non-deferrable levels should have any needed surveys programmed under the project name. All other surveys should be programmed in aggregation under PWID 14600: Project Condition Surveys. Funding for PWID 14600: Project Condition Surveys, will be adjusted after overall dredging program levels are determined.

WORK CATEGORY CODE: **60122** - Studies and Surveys for Navigation - Major Rehabilitation Evaluation Reports (~~Includes elements for navigation activities of old Feature Cost Code 60770~~)

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for navigation features.

Includes all costs to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction, General (CG) funds are allocated to the project.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY CODE: **60123** - Studies and Surveys for Navigation - Environmental Studies and Monitoring for Dredging Purposes ~~(Includes old Feature Cost Code 60742)~~

WORK CATEGORY DESCRIPTION: Environmental Studies and Monitoring for Dredging Purposes.

Includes all costs for environmental studies and monitoring for dredging purposes including all costs of study and analysis activities associated with long range environmental activities related to waterways. These activities are needed to ensure that appropriate information and requirements are fulfilled so that E&D for dredging can be completed on a timely basis. Dredged Material Management Plans (DMMPs) are included in this Work Category. Environmental requirements to perform maintenance dredging of Federal channels (e.g. water quality certification, bio-assays, water quality testing, Environmental Impact Statements, and environmental assessments) should also be included in this Work Category.

WORK CATEGORY CODE: **60131** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Codes 60721 and 60722)~~

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to navigation features.

Includes all costs for the ~~operationing, and operational maintenance,~~ of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY CODE:

60132 - Formal Periodic Inspections and Reports for Dam Safety related to the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Code 60723)~~

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to navigation features.

Includes all costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

- (a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.
- (b) Public Bridges.
- (c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.
- (d) Other projects where known conditions warrant inspections at a frequency more often than normal including revetments, dikes, groins, breakwaters, jetties, seawalls, piers and other similar structures provided in seas, lakes, rivers, canals, exposed tidal waters and harbors.

WORK CATEGORY CODE:

60133 - Dam Safety Assurance Studies related to the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Code 60741)~~

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety related to navigation features.

Includes all costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY CODE: **60141** - Water Management (Control and Quality) Activities for Navigation - Analysis and Studies ~~(Includes elements for navigation activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for navigation features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Costs for data collection are included in Work Category Code 60142.

WORK CATEGORY CODE: **60142** - Water Management (Control and Quality) Activities for Navigation - Operation of Water Control Data Systems ~~(Includes elements for navigation activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for navigation features.

Includes all costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies, and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding costs for purchase and maintenance of new water control data systems equipment are~~

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

included in Work Category Code 61140.

WORK CATEGORY CODE: **60150** - Real Estate Management for the Navigation Function (~~Includes elements for navigation activities of old Feature Cost Code 61100~~)

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for navigation features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, ~~and~~ ~~Real property accountability, including real property inventory updates and preparation of annual civil-owned property reports~~ (GSA 1166).

WORK CATEGORY CODE: **60160** - Environmental Compliance Management for the Navigation Function (~~Includes elements for navigation activities of old Feature Cost Code 60800~~)

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for navigation features.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

Includes all operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **60170**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60180**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60190**

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60210** - Operations for Flood Damage Reduction (~~Includes elements for flood damage reduction activities of old Feature Cost Codes 60110, 60120, 60130, 60220, 60230, 60240, 60310, 60320, 60640 and 60742~~)

WORK CATEGORY DESCRIPTION: Operations of Dams, Reservoirs, Levees, Hurricane Barrier Gates, and Other Flood Damage Reduction Non-Dam Structures, Pumping Plants, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for flood damage reduction features.

Includes all costs for the operation, ~~and operational maintenance~~; necessary materials, supplies, equipment and transportation costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

of **dam structures and appurtenant equipment** such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes all costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

to **perform reservoir inspections and patrols**, removal and control of trash and debris (major periodic or one-time removal of growth and debris from the reservoir should be recorded under Work Category Code 61210); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and ~~operational routine, recurring~~ maintenance of boundary monumentation at projects without natural resource activities, insect control and elimination of health and safety hazards;

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

of levees, hurricane barrier gates, and other gated non-dam flood damage reduction structures; vegetation control on flood damage reduction structures; removal of snow and ice from structures;

of pumping plants, pumps and associated equipment; collecting and maintaining operational records; routine replacement, purification and testing of insulating, lubricating and hydraulic oils; lubricants and lubricating equipment; ~~operational~~ minor maintenance of electrical equipment, cleaning, testing, and adjustment of motor starters, relays, meters, and similar equipment; ~~operational~~ minor maintenance and repair of pumps, motors, engines, trash raking equipment, gate hoists, gates, fire fighting, and other equipment required for operation; ~~operational~~ minor maintenance of buildings, roads, and grounds; removal of debris, ice, and snow;

of project-owned permanent facilities such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery are charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories. This activity does not include costs associated with recreation facilities and areas which will be included in Work Category Code 60511;

of all tools and equipment, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project-owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles.

WORK CATEGORY CODE: **60221** - Studies and Surveys for the Flood Damage Reduction Function
(Includes elements for flood damage reduction activities of old Feature
Cost Code 60753)

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY DESCRIPTION: Non-Navigation Project Condition Studies, including Dredging Studies, for flood damage reduction features.

Includes all costs to prepare reconnaissance reports or studies related to the maintenance and rehabilitation of Civil Works projects such as foundation reports, embankment criteria, O&M manuals, sediment surveys at flood damage reduction projects, surveillance of northern boundary waters, and hydraulic model analyses prior to the engineering and design phase.

WORK CATEGORY CODE: **60222** - Studies and Surveys for Flood Damage Reduction - Major Rehabilitation Evaluation Reports (~~Includes elements for flood damage reduction activities of old Feature Cost Code 60770~~)

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for flood damage reduction features.

Includes all costs to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction, General (CG) funds are allocated to the project.

WORK CATEGORY CODE: **60223** – Studies, Surveys and Inspections of Completed Works - Local Protection Projects (~~Includes old Feature Cost Code 61014~~)

WORK CATEGORY DESCRIPTION: Studies, Surveys and Inspections of Local Protection Projects for flood damage reduction features.

Includes all costs related to the inspection of Federally constructed, locally operated and maintained projects to ensure compliance with local cooperative agreements. This Work Category does not include costs for projects covered by PL 84-99. Includes all costs for technical review and approval of sponsor-proposed alterations, improvements, excavation or construction within the limits of the project right-of-way; advice given to sponsors related to the effects of such activities on the function/operation of the project and information on acceptable construction methods; all costs to update O&M Manuals; initial funding of reconnaissance or evaluation reports; and PED for major rehabilitation, dam safety assurance, deficiency correction and reconstruction as applicable until Construction, General (CG) funds are allocated.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY CODE: **60231** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Flood Damage Reduction Function (~~Includes elements for flood damage reduction activities of old Feature Cost Codes 60721 and 60722~~)

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to flood damage reduction features.

~~Includes all costs for the operation, and operational maintenance, of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.~~

WORK CATEGORY CODE: **60232** - Formal Periodic Inspections and Reports for Dam Safety related to the Flood Damage Reduction Function (~~Includes elements for flood damage reduction activities of old Feature Cost Code 60723~~)

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to flood damage reduction features.

Includes all costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

Table C-2.3c
Work Category Codes and Definitions

O&M Operations Accounts

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60233** - Dam Safety Assurance Studies related to the Flood Damage Reduction Function (~~Includes elements for flood damage reduction activities of old Feature Cost Code 60741~~)

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety related to flood damage reduction features.

Includes all costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60241** - Water Management (Control and Quality) Activities for Flood Damage Reduction - Analysis and Studies (~~Includes elements for flood damage reduction activities of old Feature Cost Codes 60920 and 60930~~)

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for flood damage reduction features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Costs for data collection are included in Work Category Code 60242.

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WORK CATEGORY CODE: **60242** - Water Management (Control and Quality) Activities for Flood Damage Reduction - Operation of Water Control Data Systems ~~(includes elements for flood damage reduction activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for flood damage reduction features.

Includes all costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies, and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding Costs for purchase and maintenance of new water control data systems equipment are~~ included in Work Category Code 61240.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **60250** - Real Estate Management for the Flood Damage Reduction Function (~~Includes elements for flood damage reduction activities of old Feature Cost Code 61100~~)

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for flood damage reduction features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of, and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government. Includes reconciliation of financial records with flood damage reduction land and mineral lease receipts, and ~~Real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).~~

WORK CATEGORY CODE: **60260** - Environmental Compliance Management for the Flood Damage Reduction Function (~~Includes elements for flood damage reduction activities of old Feature Cost Code 60800~~)

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for flood damage reduction features.

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Work Category Codes and Definitions

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Includes all operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088. This Work Category also includes all costs for the management and curation of Orphan Collections and archeological materials collected from early local protection projects and subsequently turned over to local sponsors for operation and maintenance. All other costs for management and curation of archeological resources are included in Work Category Code 60412.

WORK CATEGORY CODE: **60270**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60280**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60290**

WORK CATEGORY DESCRIPTION: Reserved.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **60310 (60311-60314)** - Hydropower Operations (~~Includes elements for hydropower activities of old Feature Cost Codes 60120, 60130, 60220, 60230, 60310, 60410, 60420, 60430, 60440, 60640 and 60742).~~ Costs for this function will be sub-divided as follows:

60311 - Hydropower Operations - Supervision and Engineering, FERC #535. Costs for labor, materials and other expenses incurred in the general supervision of the operation of hydraulic generating stations. Direct supervision of specific activities will be charged to the appropriate accounts;

60312 - Hydropower Operations - Hydraulic Expenses, FERC #537. Costs for labor, materials and other expenses incurred in operating power intake works whether or not the powerhouse is an integral part of the intake dam;

60313 - Hydropower Operations - Electric Expenses, FERC #538. Costs for labor, materials and other expenses incurred in operating turbines, generators, auxiliary apparatus, switchgear and other electric equipment to the point where electricity leaves for transmission by the marketing agency or other project. Keeping plant logs and records, and preparing reports of operation are included herein;

60314 - Hydropower Operations - Miscellaneous Hydraulic Power Generation Expenses, FERC #539. Costs for labor, materials and other expenses not specifically provided for in other power plant operation accounts. Includes costs for custodial and other administrative services.

WORK CATEGORY DESCRIPTION: ~~Operations of Power Plants, Dams, Reservoirs, Levees and Other Non-Dam Structures, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for hydropower features.~~

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Includes specific costs for the general supervision and engineering associated with the operation; ~~and operational maintenance~~; routine materials, supplies, equipment and transportation costs; associated hired labor and contract support; and other costs; ~~for hydroelectric power plants. Costs not specific to hydropower will be included in Work Category Code 60610.~~

of **power plants** including hydraulic generating stations, and their associated power intake structures, turbines, generators, auxiliary apparatus, switchgear, and other electrical or electronic equipment to the point where electricity leaves for transmission by the marketing agency or project. Includes miscellaneous costs such as custodial, administrative services and training power plant trainees including labor;. Costs not specific to hydropower will be included in Work Category Code 60610.

~~of dam structures and appurtenant equipment~~ such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes all costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

~~to perform reservoir inspections and patrols~~, removal and control of trash and debris (major periodic or one-time removal of growth and debris from the reservoir should be recorded under Work Category Code 61N10); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and operational maintenance of boundary monumentation at projects without natural resource activities, insect control and elimination of health and safety hazards;

~~of levees and other non-dam structures~~; vegetation control on structures; removal of snow and ice from structures;

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Work Category Codes and Definitions

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~~of project owned permanent service facilities~~ such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery are charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories. This activity does not include costs associated with recreation facilities and areas which will be included in Work Category Code 60511;

~~of all tools and equipment~~, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles;

WORK CATEGORY CODE: **60320 (60321-60324)** - Studies and Surveys for the Hydropower Function ~~(Includes elements for hydropower activities of old Feature Cost Code 60753).~~ Costs for this function will be sub-divided as follows:

60321 - Studies and Surveys - Supervision and Engineering, FERC #535. Costs for labor, materials and other expenses incurred in the general supervision of the operation of hydraulic generating stations. Direct supervision of specific activities will be charged to the appropriate accounts;

60322 - Studies and Surveys - Hydraulic Expenses, FERC #537. Costs for labor, materials and other expenses incurred in operating power intake works whether or not the powerhouse is an integral part of the intake dam;

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60323 - Studies and Surveys - Electric Expenses, FERC #538. Costs for labor, materials and other expenses incurred in operating turbines, generators, auxiliary apparatus, switchgear and other electric equipment to the point where electricity leaves for transmission by the marketing agency or other project;

60324 - Studies and Surveys - Miscellaneous Hydraulic Power Generation Expenses, FERC #539. Costs for labor, materials and other expenses not specifically provided for in other power plant operation accounts.

WORK CATEGORY DESCRIPTION: Studies and Surveys for hydropower features.

Includes all costs to prepare reconnaissance reports or studies related to the maintenance and rehabilitation of hydropower projects such as foundation reports, embankment criteria, O&M manuals, sediment surveys and hydraulic model analyses prior to the engineering and design phase.

WORK CATEGORY CODE: **60325** - Studies and Surveys for Hydropower - Major Rehabilitation Evaluation Reports ~~(Includes elements for hydropower activities of old Feature Cost Code 60770)~~

WORK CATEGORY DESCRIPTION: Major Rehabilitation Evaluation Reports for hydropower features.

Includes all costs for specific hydropower purposes to initiate new, or continue ongoing, major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction, General (CG) funds are allocated to the project.

WORK CATEGORY CODE: **60331** - Instrumentation, Data Collection and Analysis for Dam Safety related to the Hydropower Function, FERC #537 ~~(Includes elements for hydropower activities of old Feature Cost Codes 60721 and 60722)~~

WORK CATEGORY DESCRIPTION: Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety related to hydropower features.

Includes all specific costs for the ~~operation, and operational maintenance,~~ of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and

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vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60332** - Formal Periodic Inspections and Reports for Dam Safety related to Hydropower Activities, FERC #537 (~~Includes elements for hydropower activities of old Feature Cost Code 60723~~)

WORK CATEGORY DESCRIPTION: Formal Periodic Inspections and Reports for Dam Safety related to hydropower features.

Includes all specific costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60333** - Dam Safety Assurance Studies related to the Hydropower Function, FERC #537 (~~Includes elements for hydropower activities of old Feature Cost Code 60741~~)

WORK CATEGORY DESCRIPTION: Dam Safety Assurance Studies for Dam Safety activities related to hydropower features.

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Work Category Codes and Definitions

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Includes all specific costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60341** - Water Management (Control and Quality) Activities for Hydropower - Analysis and Studies, FERC #537 (~~Includes elements for hydropower activities of old Feature Cost Codes 60920 and 60930~~)

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for hydropower features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Costs for data collection are included in Work Category Code 60342.

WORK CATEGORY CODE: **60342** - Water Management (Control and Quality) Activities for Hydropower - Operation of Water Control Data Systems, FERC #537 (~~Includes elements for hydropower activities of old Feature Cost Codes 60920 and 60930~~)

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for hydropower features.

Includes all costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data

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collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding Costs for purchase and maintenance of new water control data systems equipment are~~ included in Work Category Code 61340.

WORK CATEGORY CODE: **60350** - Real Estate Management for the Hydropower Function, FERC #537 ~~(Includes elements for hydropower activities of old Feature Cost Code 61400)~~

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for hydropower features.

Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, and Real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60360** - Environmental Compliance Management for the Hydropower Function, FERC #539 ~~(Includes elements for hydropower activities of old Feature Cost Code 60800)~~

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for hydropower features.

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Includes all operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **60370**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60380**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60390**

WORK CATEGORY DESCRIPTION: Reserved.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **60411** - Management of Natural Resources (~~Includes old Feature Cost Code 60510~~)

WORK CATEGORY DESCRIPTION: Management of Natural Resources and Operational Management Plans.

Includes all costs for the management and operations, ~~including operational maintenance~~:

of **natural resources** including the conservation and protection of soil, water, wetland, forest, vegetation, Federally listed endangered and threatened species, waterfowl, fish and wildlife, grasslands and range, and other resources essential to the total management of specific projects; ~~and operational maintenance~~; salaries, equipment, supplies, managing permits issued under authority of Title 36 Code of Federal Regulations, compliance with the Endangered Species Act; managing areas under license or outlease, spawning beds, fish shelters, fish and waterfowl impoundments; conducting reforestation activities, timber salvage, timber trespass surveillance, timber cruising, stand improvement, and haul road maintenance; pest and predator control; conduct vegetation plantings, prescribed burning, fertilization, noxious weed control, maintain riparian vegetation, establishing wildlife food plots, manipulating vegetation; conducting wildlife habitat preservation management or improvement activities; forestry and range management; establishing firelanes and conducting fire prevention; managing trails and off-road vehicles; erosion control; conducting citation authority programs outside developed recreation areas; conducting interpretive programs; and boundary surveillance and ~~operational routine, recurring~~ maintenance of boundary monumentation. This Work Category excludes costs associated with fish hatcheries and fish passage. Also, natural resources activities conducted for the enhancement of recreation areas will be charged to Work Category Code 60511;

of **Operational Management Plans**, including all costs for salaries, supplies and materials, and equipment related to the preparation and updating of Operational Management Plans and supplements. Charges may include field units that perform data collection and analysis.

WORK CATEGORY CODE: **60412** - Management and Curation of Archeological and Cultural Resources (~~Includes old Feature Cost Code 60540~~)

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Work Category Codes and Definitions

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WORK CATEGORY DESCRIPTION: Management and Curation of Archeological and Cultural Resources.

Includes all costs for the management and operations, ~~including operational maintenance~~, of archeological and cultural resources including identification, surveillance, studies, literature searches, reconnaissance surveys, inventory, subsurface testing, development and update of management plans for historical, archaeological and cultural resources, outreach, educational and Native people programs, operations activities associated with identified historical, archaeological and cultural resources, and enforcement of Title 36 Code of Federal Regulations, the National Historic Preservation Act of 1966, the Archeological Resources Protection Act of 1979 and other applicable laws and regulations. Costs for Orphan Collections are included in Work Category Code 60260.

WORK CATEGORY CODE: **60413** - Management of Wildlife Mitigation Features ~~(Includes old Feature Cost Code 60550)~~

WORK CATEGORY DESCRIPTION: Management of Wildlife Mitigation Features.

Includes all costs for the management and operations, ~~including operational maintenance~~, of wildlife mitigation activities including costs to comply with Federal laws and mitigation requirements to offset losses caused by existing and new project activities. This Work Category does not include acquisition costs.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **60414** - Fisheries Management - Operation of Fish Hatcheries (~~Includes old Feature Cost Code 60520~~)

WORK CATEGORY DESCRIPTION: Fisheries Management — Operation of Fish Hatcheries.

Includes all costs for salaries, equipment, supplies and all costs associated with the operation, ~~and operational maintenance~~, of fish hatcheries, egg collecting stations and related facilities for provision of fish propagation. It excludes fisheries development activities included in Work Category Code 60411.

WORK CATEGORY CODE: **60415** - Fisheries Management - Fish Hauling Activities and Fish Passage Structures (~~Includes old Feature Cost Code 60530~~)

WORK CATEGORY DESCRIPTION: Fisheries Management - Fish Hauling Activities and Fish Passage Structures.

Includes all costs associated with operation ~~and operational maintenance~~ of facilities and equipment for collecting, trapping, transportation and passage of fish at dams and navigation facilities. Facilities include ladders, nets, elevators and locks. It excludes fisheries development activities included in Work Category Code 60411.

WORK CATEGORY CODE: **60416** - Comprehensive Master Plans (~~Includes old Feature Cost Code 60640~~)

WORK CATEGORY DESCRIPTION: Preparation and Updating of Comprehensive Master Plans and Master Plan Supplementals.

Includes all costs to initiate new, or continue ongoing, comprehensive Master Plans, including all costs for salaries, supplies and materials, and equipment related to the preparation and updating of Master Plans and Master Plan Supplements. Charges may include field units that perform data collection and analysis.

WORK CATEGORY CODE: **60420** — Studies and Surveys for the Environmental Stewardship Function (~~Includes old Feature Cost Code 60754 and elements of old Feature Cost Codes 60510, 60540~~)

WORK CATEGORY DESCRIPTION: Natural Resources Studies and Surveys for environmental stewardship features, including Fisheries and Wildlife Development Activities.

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Includes all costs of fish and wildlife studies, including fish hauling and passage analyses to meet mitigation requirements to support long-range development and modification of existing structures, applicable to a specific project and pro rata share of basin-wide fish and wildlife studies; inventorying the natural resources base; conducting surveys of fish and wildlife; performing population dynamics and other studies; and of archeological and cultural resources including identification, surveillance, studies, literature searches, reconnaissance surveys, indexing, inventory, testing, development and update of management plans for historical, archaeological and cultural resources, including costs of operations activities associated with identified historical, archaeological and cultural resources.

WORK CATEGORY CODE: **60430**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60441** - Water Management (Control and Quality) Activities for Environmental Stewardship - Analysis and Studies ~~(includes elements for environmental stewardship activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for environmental stewardship features.

Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Costs for data collection are included in Work Category Code 60442.

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WORK CATEGORY CODE: **60442** - Water Management (Control and Quality) Activities for Environmental Stewardship - Operation of Water Control Data Systems ~~(Includes elements for environmental stewardship activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for environmental stewardship features.

Includes all costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding costs for purchase and maintenance of new water control data systems equipment are~~ included in Work Category Code 61440.

WORK CATEGORY CODE: **60450** - Real Estate Management for the Environmental Stewardship Function ~~(Includes elements for environmental stewardship activities of old Feature Cost Code 61100)~~

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for environmental stewardship features.

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Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government, and ~~Real property~~ Real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60460** - Environmental Compliance Management for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Code 60800~~)

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for environmental stewardship features.

Includes all operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **60470**

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WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60480**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60490**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60511** - Operations for the Recreation Function ~~(Includes old Feature Cost Codes 60610 and 60620, and elements for recreation activities of old Feature Cost Codes 60110, 60120, 60130, 60220, 60230 and 60640)~~

WORK CATEGORY DESCRIPTION: Operations and Management of Recreation Areas and Facilities, Visitor Centers, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc. for recreation features.

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Work Category Codes and Definitions

O&M Operations Accounts

Includes all costs for the management and operation; ~~and operational maintenance~~; necessary materials, supplies, equipment, transportation and rental costs associated with operations; associated hired labor and contract support; routine materials and supplies; and other costs:

of **recreation areas and facilities** including all costs for salaries, per diem, travel, signs and uniforms, collecting and administering users fees, brochures, maps, participation in public and special events and exhibitions, costs of trash removal, cleanup, mowing, and gate or park attendants. Also includes ~~operational maintenance operations~~ costs for buildings, grounds, landscaping, removal of hazardous trees, control of vegetation, roads, bridges, parking areas, grills, tables, trails, playgrounds and permanent operating equipment utilized for recreation purposes;

of **visitor centers** including all costs associated with visitor center operations, such as all personnel costs, custodial duties, supporting costs of cooperating associations, ~~operational maintenance~~, snow, ice and debris removal, lawn and shrubbery maintenance, landscaping, utilities, exhibits, grounds, heating and cooling systems, audio visual programs, building material, and equipment costs;

to **perform reservoir inspections and patrols** for recreation purposes;

of **project-owned permanent facilities** for recreation purposes;

of **all tools and permanent operating equipment** including direct costs of automotive and other equipment assigned to the recreation function. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles.

WORK CATEGORY CODE: **60512** - Operations and Management for the Recreation Function using Special Recreation Users Fee (SRUF) Funds ~~(Includes old Feature Cost Code 60630)~~

Costs previously included here should be included in WCC 60511.

WORK CATEGORY DESCRIPTION: ~~Operations for recreation features - Management of Recreation Areas and Facilities using Special Recreation Users Fee (SRUF) Funds.~~

~~Includes all costs for management and operation of recreation areas and facilities which utilize Special Recreation Users Fee (SRUF) funds to perform activities as described in Work Category Code 60511. SRUF funds can be used to supplement the costs to operate, maintain, and when feasible improve~~

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~~recreation facilities. SRUF funds are first to be used to finance normal O&M activities so as to ensure continued operation of these facilities.~~

WORK CATEGORY CODE: **60513** - Operations for the Recreation Function - Law Enforcement Agreements ~~(Includes old Feature Cost Code 61600)~~

WORK CATEGORY DESCRIPTION: Operations for recreation features - Costs and Supervision of Law Enforcement Agreements.

Includes all costs for cooperative agreements for law enforcement with states and their political subdivisions under PL 94-587, and all costs for technical and administrative charges, including project and district costs for administration of law enforcement agreements and activities.

WORK CATEGORY CODE: **60520** - Studies and Surveys for the Recreation Function ~~(Includes elements for recreation activities of old Feature Cost Code 60753)~~

WORK CATEGORY DESCRIPTION: Studies and Surveys for recreation features.

Includes all costs to prepare visitor surveys, reports or studies related to the operation, maintenance and rehabilitation of recreation facilities.

WORK CATEGORY CODE: **60530**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60541** - Water Management (Control and Quality) Activities for Recreation - Analysis and Studies ~~(Includes elements for recreation activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions for recreation features.

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Work Category Codes and Definitions

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Includes all costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; all costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated costs required to make sound water control management decisions; all costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and all costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes all costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Costs for data collection are included in Work Category Code 60542.

WORK CATEGORY CODE: **60542** - Water Management (Control and Quality) Activities for Recreation - Operation of Water Control Data Systems (~~includes elements for recreation activities of old Feature Cost Codes 60920 and 60930~~)

WORK CATEGORY DESCRIPTION: Water Management (Control and Quality) Activities - Operation of Water Control Data Systems including Data Collection for recreation features.

Includes all costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes all costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding~~ Costs for purchase and maintenance of new water control data systems equipment are included in Work Category Code 61540.

WORK CATEGORY CODE: **60550** - Real Estate Management for the Recreation Function (~~includes elements for recreation activities of old Feature Cost Code 61100~~)

WORK CATEGORY DESCRIPTION: Real Estate Management including Compliance, and Utilization Inspections for recreation features.

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Work Category Codes and Definitions

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Includes all costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government and ~~Real~~ property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60560** - Environmental Compliance Management for the Recreation Function (Includes elements for recreation activities of old Feature Cost Code 60800)

WORK CATEGORY DESCRIPTION: Environmental Compliance Management for recreation features.

Includes all operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

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WORK CATEGORY CODE: **60570**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60580**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60590**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60610** - Joint Activities for Operations, FERC #535, #537, #538 and #539 (~~Includes elements for joint use activities of old Feature Cost Codes 60120, 60130, 60220, 60230, 60310, 60320, 60450, 60640 and 60742~~)

WORK CATEGORY DESCRIPTION: Joint costs for Operations activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation. These activities may include

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Work Category Codes and Definitions

O&M Operations Accounts

the operation of Dams, Reservoirs, Levees, Other Non-Dam Multi-purpose Structures, Pumping Plants, Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Permanent Operating Equipment, etc.

Includes all joint costs for the operation, and ~~operational maintenance~~, routine materials, supplies, equipment and transportation costs; hired labor and contract support associated with operations; and other costs:

of **dam structures and appurtenant equipment** such as spillway gates, intake and outlet works, and sluiceways for reservoir regulation; removing and disposing of ice, snow, trash, and debris on or in the vicinity of the dam or dam structures; cleanup of dam structures and facilities; routine testing and adjustment of gauges, meters, instruments, and relays in dam structures; disposal and control of weeds, brush, trees, and aquatic growth in the vicinity of dam structures; and grass cutting on earth-fill dams. Includes costs for dam safety/failure training of project personnel, preparation of flood emergency plans, dam contingency plans, dam surveillance plans, and provision for technical assistance to local interests concerning dam failure. When this account includes municipal or industrial water delivery activities, a separate sub-element should be established in CEFMS to record appropriate costs for each such facility for cost allocation purposes;

to **perform reservoir inspections and patrols**, removal and control of trash and debris (excluding major periodic or one-time removal of growth and debris from the reservoir which should be included in maintenance accounts); minor bank erosion control; minor cleaning of reservoir area for weeds, brush, trees, and aquatic growth; boundary surveillance and ~~operational routine, recurring~~ maintenance of boundary monumentation at projects without natural resource activities, insect control and elimination of health and safety hazards;

of **levees and other non-dam multi-purpose structures**; vegetation control, removal of snow and ice from multi-purpose structures;

of **pumping plants, pumps and associated equipment**; collecting and maintaining operational records; routine replacement, purification and testing of insulating, lubricating and hydraulic oils; lubricants and lubricating equipment; ~~operational minor~~ maintenance of electrical equipment, cleaning, testing, and adjustment of motor starters, relays, meters, and similar equipment; ~~operational minor~~ maintenance of pumps, motors, engines, trash raking equipment, gate hoists, gates, fire fighting, and other equipment required for operation; ~~operational minor~~ maintenance of buildings, roads, and grounds; removal of debris, ice, and snow;

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Work Category Codes and Definitions

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of **project-owned permanent facilities** such as administration and shop buildings, storage and garage buildings and areas, community buildings, local streets and sidewalks, landscaping, utility facilities such as electric, gas, water, and sewage, all security and protective measures, and permanent roads, including the road across the top of the dam, and parking areas near the dam, railroads, and bridges required for access and other purposes in connection with the operation of a project. It also includes bridges provided as a project feature for the passage of highway and railway traffic over improved channels. Direct costs included are snow and ice removal from project roads, parking areas and walkways; sanding and salting project roads, parking areas and walkways; minor patching, signs, ditch cleaning, culvert cleaning and similar duties; bridge operation; cleanup of project roads, railroads, and bridges. Where space in other basic structures, such as a dam or powerhouse, is used in lieu of any above mentioned facilities, such allocated space is not separated from the basic structure. Buildings which house operating machinery and serve other purposes as well are included in this activity, but the costs to operate the machinery is charged to the appropriate Work Categories. Buildings which house specific operating machinery, spare parts, equipment, etc., will be charged to the appropriate Work Categories;

of **all tools and equipment**, including laboratory, shop, warehousing, communications, surveys, and transportation equipment, office furniture and equipment. Project owned sedimentation and degradation measuring facilities, rainfall and stream-gauging devices, fixed sand bypassing systems, and like equipment are also included. Includes direct costs of automotive and other equipment not assigned to specific features. Vehicle accounts will be maintained by group classifications as provided for Revolving Fund vehicles. Operating costs of permanent equipment assigned to specific functions will be charged to those functions.

WORK CATEGORY CODE: **60621** - Joint Activities for Studies and Surveys, FERC #535, #537, #538 and #539 (~~Includes elements for joint activities of old Feature Cost Code 60711~~)

WORK CATEGORY DESCRIPTION: Joint costs for Studies and Surveys including project condition surveys, dredging studies, etc. NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs to perform studies or surveys for multi-purpose projects including sedimentation conditions and dredging studies.

WORK CATEGORY CODE: **60622** - Joint Activities for Studies and Surveys - Major Rehabilitation Evaluation Reports, FERC #537 (~~Includes elements for joint activities of old Feature Cost Code 60770~~)

WORK CATEGORY DESCRIPTION: Joint costs for Studies and Surveys - Major Rehabilitation Evaluation

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Work Category Codes and Definitions

O&M Operations Accounts

Reports NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for major rehabilitation evaluation reports. Operation and Maintenance (O&M) funds are to be used only until Construction, General (CG) funds are allocated to the project.

WORK CATEGORY CODE: **60631** - Joint Activities for Instrumentation, Data Collection and Analysis for Dam Safety, FERC #537 ~~(Includes elements for joint activities of old Feature Cost Codes 60721 and 60722)~~

WORK CATEGORY DESCRIPTION: Joint costs of Instrumentation for Engineering Analysis and Continuing Evaluation Data Gathering Inspections, and Data Analysis for Dam Safety NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for the operating ~~on, and operational maintenance~~, of instruments in existing dam structures for safety evaluation and all costs of obtaining, analyzing and reporting instrumentation data for purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **60632** - Joint Activities for Formal Periodic Inspections and Reports for Dam Safety, FERC #537 ~~(Includes elements for joint activities of old Feature Cost Code 60723)~~

WORK CATEGORY DESCRIPTION: Joint costs for Formal Periodic Inspections and Reports for Dam Safety NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

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Work Category Codes and Definitions

O&M Operations Accounts

Includes all joint costs related to the scheduled periodic inspections and reporting of projects and bridges needed to meet inspection frequency requirements of ER 1110-2-100 as follows:

(a) Dams, locks and dams, initial and second inspections if funded under O&M General, and high hazard structures.

(b) Public Bridges.

(c) Structures whose failure would be a major loss to the national infrastructure or cause severe economic distress.

(d) Other projects where known conditions warrant inspections at a frequency more often than normal.

WORK CATEGORY CODE: **60633** - Joint Activities for Dam Safety Assurance Studies, FERC #537
(Includes elements for joint activities of old Feature Cost Code 60741)

WORK CATEGORY DESCRIPTION: Joint costs for Dam Safety Assurance Studies NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs of reconnaissance studies and special engineering investigations for known or suspected dam safety deficiencies, e.g. seismic evaluations, seepage studies, erosion studies, etc.

WORK CATEGORY CODE: **60641** - Joint Activities for Water Management (Control and Quality) - Analysis and Studies, FERC #537 (Includes elements for joint use activities of old Feature Cost Codes 60920 and 60930)

WORK CATEGORY DESCRIPTION: Joint costs for Water Management (Control and Quality) Activities - Analysis, Studies and Regulation Instructions NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for personnel and space to manage the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current water control/quality plan; costs to prepare routine regulation instructions and runoff forecasts, coordinate with other agencies and entities, prepare water control manuals, disseminate water control information, training, travel and other associated

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Work Category Codes and Definitions

O&M Operations Accounts

costs required to make sound water control management decisions; costs for reservoir and river analyses to improve the quality of water within and downstream from the reservoirs; and costs related to studies of the means to mitigate water quality problems and studies to determine present and future water quality needs. Also includes costs for water management studies to improve efficiency or mitigate constraints on approved plans of regulation, annual updating of notification lists, and funds transferred to other agencies and any similar items needed to accomplish this activity. This includes development of the water quality component of water control manuals and daily decisions on multi-level releases and pro-rata share of office and computer facilities and other related costs associated with water management. Joint costs for data collection are included in Work Category Code 60642.

WORK CATEGORY CODE: **60642** - Joint Activities for Water Management (Control and Quality) - Operation of Water Control Data Systems, FERC #537 ~~(Includes elements for joint use activities of old Feature Cost Codes 60920 and 60930)~~

WORK CATEGORY DESCRIPTION: Joint costs for Water Management (Control and Quality) Activities - Operation of Water Control Data Systems NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for the operation of equipment, personnel and space to collect the hydrologic, hydraulic and meteorological data required for water control and quality activities in accordance with the current plan, data collection, and pro-rata share of office and computer facilities and other related costs associated with operations of water management data systems. Includes costs to coordinate with other agencies and entities, training, travel, funds transferred to other agencies and other associated costs required for operation of water management data systems. ~~Also includes all costs for operational maintenance of data collection equipment, funds transferred to other agencies and any similar items needed to accomplish this activity, excluding Costs for purchase and maintenance of new water control data systems equipment~~ are included in Work Category Code 61640.

WORK CATEGORY CODE: **60650** - Joint Activities for Real Estate Management, FERC #539 ~~(Includes elements for joint use activities of old Feature Cost Code 61100)~~

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate Management including Compliance, and Utilization Inspections NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

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Work Category Codes and Definitions

O&M Operations Accounts

Includes all joint costs, including contractual services, incident to granting to others the use of and performing inspections of property for purposes such as commercial concessions, industrial uses, public park and recreation, quasi-public and group camp use, fish and wildlife habitat management, selected agricultural and grazing uses and reconveyance clauses (restrictions) in deeds. Also includes granting use of and performing inspections of property granted and reserved to others for purposes such as road, street, waterline, powerline, and communication rights-of-way, as well as requests to drill for oil or gas on Government owned property where no oil or gas lease is required, and other uses covered by easements, licenses, and permits. Includes report preparation, determination of compliance after vacation of property subsequent to expiration or revocation of grant, and corrective measures where non-compliance is noted. Also includes appraisals, surveys, mapping, negotiations, preparation and execution of outgrants, renewal, extension, cancellation/termination documents, responses to request for use of real or related personal property, Executive Order surveys and public land withdrawals (applies to the 11 western states). Includes costs of utilization inspections of real property under the control of or subject to a service agreement with the Corps or the Government. Includes reconciliation of financial records with flood damage reduction land and mineral lease receipts, and ~~Real~~ real property accountability, including real property inventory updates and preparation of annual civil-owned property reports (GSA 1166).

WORK CATEGORY CODE: **60660** - Joint Activities for Environmental Compliance Management, FERC #539 (~~Includes elements for joint use activities of old Feature Cost Code 60800~~)

WORK CATEGORY DESCRIPTION: Joint costs for Environmental Compliance Management activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint operational costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental assessment manuals. Includes all costs associated with management and oversight of environmental compliance for operations activities. Costs include salaries, training, materials, supplies, regulatory fees, drinking water and waste analysis, inspection of waste collection and disposal facilities, and internal and external environmental compliance assessments. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

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WORK CATEGORY CODE: **60670**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60680**

WORK CATEGORY DESCRIPTION: Reserved.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **60690**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **60711** - National Emergency Preparedness Program (NEPP) - Continuity of Operations

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Continuity of Operations activities.

Includes all costs required to develop, maintain and exercise Continuity of Operations Plans (COOP). Includes personnel and contracting costs for development of plans and Standard Operating Procedures (SOPs), training, participation in exercises and program management associated with USACE relocation and reconstitution missions as a result of either a natural or manmade (caused) disaster or emergency.

WORK CATEGORY CODE: **60712** - National Emergency Preparedness Program (NEPP) - National Preparedness Planning

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - National Preparedness Planning activities.

Includes all costs associated with, or in support of, deliberate planning for assigned catastrophic disaster response plans which ensure that Corps MSCs and districts can support the Nation during national emergency events. Includes personnel and contracting costs for deliberate planning, development of Standard Operating Procedures (SOPs), training, exercises, program management and coordination with related Federal, State, and local entities. Also includes costs associated with preparedness planning for Port Readiness and Military Assistance to Civil Disturbances.

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Work Category Codes and Definitions

O&M Operations Accounts

WORK CATEGORY CODE: **60713** - National Emergency Preparedness Program (NEPP) - Support of Emergency Operations Centers (EOCs)

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Support of Emergency Operations Centers (EOCs)

WORK CATEGORY CODE: **60714** - National Emergency Preparedness Program (NEPP) - Emergency Water Program

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Emergency Water Program.

Includes all personnel and contracting costs for those activities required to execute E.O. 12656 related to the Emergency Water Program. (For HQUSACE use only.)

WORK CATEGORY CODE: **60715** - National Emergency Preparedness Program (NEPP) - Continuity of Government

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Continuity of Government.

Includes all personnel and contracting costs for those activities associated with Continuity of Government, including plans to support the Federal Emergency Management Agency (FEMA) and other Federal, State and local agencies in their efforts to reestablish civil authority lost as a result of natural or manmade (caused) disaster or an attack on the United States. (For HQUSACE use only as directed.)

WORK CATEGORY CODE: **60716** - National Emergency Preparedness Program (NEPP) - Training and Exercises

WORK CATEGORY DESCRIPTION: National Emergency Preparedness Program (NEPP) - Training and Exercises.

Includes all costs for the development of and the participation in catastrophic disaster training and exercises in the inter- and intra-agency arena.

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Work Category Codes and Definitions

O&M Maintenance Accounts

O&M Maintenance Accounts By Business Function

Navigation (611--)

Flood Damage Reduction (612--)

Hydropower (613--)

Environmental Stewardship (614--)

Recreation (615--)

Joint Activities (616--)

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Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61110** - Maintenance for the Navigation Function (~~Includes elements for navigation activities of old Feature Cost Codes 62111, 62115, 62120, 62210, 62240, 62610, 63020, 63210, 63240, 63321 and 63322~~)

WORK CATEGORY DESCRIPTION: Maintenance of Locks, Dams, Reservoirs, Dikes, Revetments, Breakwaters, Jetties, Seawalls, Piers, Levees and Similar Structures, Service Facilities, Permanent Operating Equipment, etc. excluding dredging activities for navigation features.

Includes all direct costs for the maintenance and repair, ~~excluding operational maintenance~~, replacement, additions and efficiency improvements to, or retirement of; related costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment for non-Water Management activities:

of **lock and salt water control structures and facilities** for passage of waterborne traffic, including gates, valve operating machinery, lock walls, and guide and guard-walls including dolphins within the lock approaches for tie up, guard, or guide purposes;

of facilities and equipment for **dams, spillways, outlet works and auxiliary dams**;

of **reservoirs and facilities** including floating trash booms, trash racks, erosion control, drainage, major periodic or one time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60110); rim grouting or mine sealing, etc., to prevent leakage;

of **revetments, dikes, groins, breakwaters, jetties, seawalls, piers, levees and similar structures** provided in seas, lakes, rivers, canals, exposed tidal waters, and harbors;

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Work Category Codes and Definitions

O&M Maintenance Accounts

of **non-dredging navigation channel maintenance** including snagging, clearing, aquatic plant removal, removal of sunken vessels, drift removal, rock and other debris removal;

of **buildings, grounds, utilities, and roads, railroads and bridges**, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes direct costs for project utilities including electrical, gas, water, and sewer systems;

of **permanent operating equipment**;

of buildings, grounds and utilities that are part of the **hydraulic models in South Pacific Division**;

and for **instrumentation on lock facilities and dam structures** including all costs for the installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **61121** - Dredging Activities for the Navigation Function (~~Includes old Feature Cost Code 63311 and elements for navigation activities of old Feature Cost Codes 63333, 63334 and 63335~~)

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for navigation activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all costs for maintenance dredging and disposal activities of navigation channels and canals, except project condition sediment survey costs which are included in Work Category Code 60121. Includes costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. Costs for long-range environmental requirements are included in Work Category Code 60123. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous

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Work Category Codes and Definitions

O&M Maintenance Accounts

materials and supplies, transportation, disposal, and equipment.

NOTE: Line item submissions for Corps-owned hopper dredges should be separate from line item submissions for any other dredges.

WORK CATEGORY CODE: **61122** - Dredging - Construction and Maintenance of Dredged Material Disposal Facilities for the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Codes 63331 and 63332)~~

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for navigation features.

Includes all costs for the construction and the maintenance of dredged material disposal facilities including confined disposal facilities, and costs for required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation, and equipment usage.

WORK CATEGORY CODE: **61130**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61140** - Water Management (Control and Quality) Equipment for the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Code 63010)~~

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for navigation features.

Includes all costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61151** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Navigation Function
(Includes elements for navigation activities of old Feature Cost Code 62000)

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for navigation features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61152** - Real Estate - Resolution of Real Estate Encroachments for the Navigation Function (Includes elements for navigation activities of old Feature Cost Code 62060)

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for navigation features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. The costs for boundary line surveys and remarking are included in Work Category Code 61153.

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Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61153** - Real Estate - Boundary Monumentation and Rectification for the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Code 62080)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for navigation features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation which is included in Work Category Code 60411.~~ Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61160** - Environmental Compliance (Remedial Actions) for the Navigation Function ~~(Includes elements for navigation activities of old Feature Cost Codes 62116, 62250, 62640, 62750, 63270, and 63340)~~

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Locks, Dams, Reservoirs, Breakwaters, Jetties, Seawalls, Piers, Levees, Other Control Structures, Pumping Plants, Other Facilities, Channels and Canals for navigation features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for locks, dams, reservoirs, breakwaters, jetties, seawalls, piers, levees, other control structures, pumping plants, other facilities, channels and canals. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **61170** - O&M Major Rehabilitation Projects for the Navigation Function ~~(Includes elements for navigation major rehabilitation projects of old Feature Cost Codes 62111 and 62210)~~

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WORK CATEGORY DESCRIPTION: Remaining O&M Funded Major Rehabilitation projects for navigation features.

Includes all major rehabilitation costs such as repair, replacement, additions and efficiency improvements to lock structures and facilities for passage of waterborne traffic, and all costs for facilities and equipment for dams, spillways, outlet works and auxiliary dams including gates, valve operating machinery, lock walls, and guide and guard-walls including dolphins within the lock approaches for tie up, guard, or guide purposes.

NOTE: Major rehabilitation, deficiency correction, and reconstruction projects are programmed for initial Construction, General (CG) appropriation and Inland Waterways Trust Fund moneys, as appropriate, only after applicable reconnaissance and/or evaluation reports have been approved. Work items for Major Rehabilitation Evaluation Reports are included in Work Category Code 60122. This Work Category will be used only until O&M funded Major Rehabilitation projects are completed.

WORK CATEGORY CODE: **61180**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61190**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61211** - Maintenance for the Flood Damage Reduction Function (~~includes elements for flood damage reduction activities of old Feature Cost Codes 62111, 62115, 62120, 62710, 62740, 62810, 63020, 63210 and 63321~~)

WORK CATEGORY DESCRIPTION: Maintenance of Dams, Reservoirs, Levees, Floodwalls, Hurricane Barriers, and Other Flood Damage Reduction Structures; Snagging, Clearing, Aquatic Plant Removal, Rock and Other Debris Removal, and Other Non-Dredging Flood Damage Reduction Channel Maintenance; Pumping Plants, Other Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Maintenance and Purchase of Permanent Operating Equipment for Non-Water Control Management Activities; etc. excluding dredging for flood damage reduction features.

Includes all direct costs for the maintenance and repair, ~~excluding operational maintenance~~, replacement, additions and efficiency improvements to, or retirement of; related costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project

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maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment for non-Water Management activities:

of facilities and equipment for **dams, spillways, outlet works and auxiliary dams;**

of **reservoirs and facilities** including floating trash booms, trash racks, erosion control, drainage, major periodic or one-time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60210); and rim grouting or mine sealing, etc., to prevent leakage;

of **levees, floodwalls, hurricane barriers, embankments, walls, in-channel structures, and other flood damage reduction structures to protect areas from inundation; and snagging, clearing, debris removal, and non-dredging flood damage reduction channel maintenance.** This includes direct costs for removal of trees, brush, accumulated snags, drifts, and debris from canals and waterways for flood damage reduction and major drainage purposes; and channel improvement structures and revetments, linings, dikes, jetties, bulkheads, and buildings (when provided for flood damage reduction);

of **pumping plants** including such items as buildings, pumps, and prime movers including power supplies, controls, piping, and all other associated facilities;

of **buildings, grounds, utilities, and roads, railroads and bridges**, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes direct costs for project utilities including electrical, gas, water, and sewer systems;

of **permanent operating equipment;**

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and for **instrumentation on dam structures and levees, floodwalls, hurricane barriers, and other flood damage reduction structures** including all costs for the installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **61212** - Maintenance of Dikes, Revetments, Breakwaters and Similar Structures for Mississippi River and Tributaries (MR&T) Flood Damage Reduction ~~(Includes elements for flood damage reduction activities of old Feature Cost Codes 63100 and 63322)~~

WORK CATEGORY DESCRIPTION: Maintenance of Dikes, Revetments, Groins, Breakwaters, Jetties, Seawalls and Similar Structures for MR&T flood damage reduction purposes.

Includes all costs for the maintenance and repair, ~~excluding operational maintenance, and repair,~~ replacement, additions and efficiency improvements to, or retirement of revetments, dikes, groins, breakwaters, seawalls, piers, linings, training dikes, bulkheads and similar structures. Also includes related costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs, equipment usage, associated government plant and hired labor for project maintenance, contract support, and other costs.

WORK CATEGORY CODE: **61221** - Dredging Activities for the Flood Damage Reduction Function ~~(Includes old Feature Cost Code 63312 and elements for flood damage reduction activities of old Feature Cost Codes 63333, 63334 and 63335)~~

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for flood damage reduction activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all costs for dredging, excavation and disposal activities for the maintenance and efficiency improvements of channels and canals for flood damage reduction purposes, except project condition sediment survey costs which are included in Work Category Code 60221. Includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; and creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous

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materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61222** - Dredging - Construction and Maintenance of Disposal Facilities for the Flood Damage Reduction Function ~~(Includes elements for flood damage reduction activities of old Feature Cost Codes 63331 and 63332)~~

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for flood damage reduction features.

Includes all costs for the construction and the maintenance of dredged material disposal facilities including confined disposal facilities, and required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61230**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61240** - Water Management (Control and Quality) Equipment for the Flood Damage Reduction Function ~~(Includes elements for flood damage reduction activities of old Feature Cost Code 63010)~~

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for flood damage reduction features.

Includes all costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **61251** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Flood Damage Reduction Function ~~(Includes elements for flood damage reduction activities of old Feature Cost Code 62000)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for flood damage reduction features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61252** - Real Estate - Resolution of Real Estate Encroachments for the Flood Damage Reduction Function ~~(Includes elements for flood damage reduction activities of old Feature Cost Code 62060)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for flood damage reduction features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking are included in Work Category Code 61253.

WORK CATEGORY CODE: **61253** - Real Estate - Boundary Monumentation and Rectification for the Flood Damage Reduction Function ~~(Includes elements for flood damage reduction activities of old Feature Cost Code 62080)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for flood damage reduction features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation which is included in Work Category Code 60411.~~ Under normal circumstances there will be

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Work Category Codes and Definitions

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no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61260** - Environmental Compliance (Remedial Actions) for the Flood Damage Reduction Function (Includes elements for flood damage reduction activities of old Feature Cost Codes 62116, 62640, 62750, 62840, 63270, and 63340)

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Dams, Breakwaters, Jetties, Seawalls, Levees, Floodwalls, Hurricane Barriers, Other Flood Damage Reduction Structures, Pumping Plants, Other Facilities, Channels and Canals for flood damage reduction features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for dams, breakwaters, jetties, seawalls, levees, floodwalls, hurricane barriers, other flood damage reduction structures, pumping plants, other facilities, channels and canals. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **61270**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61280**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61290**

WORK CATEGORY DESCRIPTION: Reserved.

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WORK CATEGORY CODE: **61310 (61311-61314)** - Baseline Maintenance for the Hydropower Function ~~(Includes old Feature Cost Code 62310 (62311-62315), and elements for hydropower activities of old Feature Cost Codes 62111, 62115, 62120, 63020, 63210, 63321).~~ Costs for this function will be subdivided as follows:

61311 - Baseline Maintenance Supervision, FERC #541. Costs for labor, materials and expenses incurred in the general supervision of maintenance of hydraulic power generating stations. Direct supervision of specific jobs is charged to the appropriate maintenance feature;

61312 - Baseline Maintenance of Hydraulic Structures, FERC #542. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the powerhouse, and power intake works whether or not the powerhouse is an integral part of the intake dam;

61313 - Baseline Maintenance of Electric Plant, FERC #544. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant generating and accessory electrical and mechanical equipment, and switchyard electrical and mechanical equipment;

61314 - Baseline Maintenance of Miscellaneous Hydraulic Plant, FERC #545. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant and switchyard hydraulic plant.

WORK CATEGORY DESCRIPTION: ~~Baseline Maintenance of Power Plants, and related Facilities (e.g. Dams and Reservoirs), Service Facilities (Buildings, Grounds, Utilities, Roads, Railroads and Bridges), Instrumentation on Dam Structures, Maintenance and Purchase of Permanent Operating Equipment, and Non-dredging Channel Maintenance,~~ excluding dredging for hydropower features.

Includes all Baseline costs for power plant maintenance and repair, replacements, additions and efficiency improvements to, and retirement of all power plant structures; of facilities and equipment required for production, transmission, and distribution of electrical power, including but not limited to the power plant, spillway, low flow bypass systems, storage facilities, turbines, motors, pumps, generators, and governors; of all accessory electrical or electronic equipment and control systems; of all water, air, and oil systems; of all intake structures with electrical and mechanical equipment; of the tailrace, switchyard, transformer yard,

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elevators, trash racks; and of lighting and interior power distribution systems, cable tunnels and conduit runs; and installation of instrumentation. Includes spare parts, special and regular tools, supplies and equipment, scaffolding, and rental of specialized equipment. Includes labor and materials, and incidental expenses incurred to maintain maintenance records; expenses incurred by the power plant management and support staff in the general supervision of the maintenance of the hydraulic generating station; and transportation and per diem costs required to perform power plant maintenance functions. ~~This account excludes operational maintenance.~~ Dredging is included in Work Category Code 61320. See Work Category Code 613N0 (613N1-613N4) for Non-Baseline accounts.

WORK CATEGORY CODE: **613N0 (613N1-613N4)** - Non-Baseline Maintenance for the Hydropower Function ~~(Includes old Feature Cost Code 62320 (62321-62325), and elements for hydropower activities of old Feature Cost Codes 62111, 62115, 62120, 63020, 63210, 63321).~~ Costs for this function will be subdivided as follows:

613N1 - Non-Baseline Maintenance Supervision, FERC #541. Costs for labor, materials and expenses incurred in the general supervision of maintenance of hydraulic power generating stations. Direct supervision of specific jobs is charged to the appropriate maintenance feature;

613N2 - Non-Baseline Maintenance of Hydraulic Structures, FERC #542. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the powerhouse, and power intake works whether or not the powerhouse is an integral part of the intake dam;

613N3 - Non-Baseline Maintenance of Electric Plant, FERC #544. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant generating and accessory electrical and mechanical equipment, and switchyard electrical and mechanical equipment;

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613N4 - Non-Baseline Maintenance of Miscellaneous Hydraulic Plant, FERC #545. Costs for labor, materials and expenses incurred in the maintenance, repair, replacement, additions and efficiency improvements to, and retirement of the power plant and switchyard hydraulic plant.

~~WORK CATEGORY DESCRIPTION: Non-Baseline Maintenance of Power Plants, and related Facilities (e.g. Dams and Reservoirs), Service Facilities (Buildings, Grounds, Utilities, Roads, Railroads and Bridges), Instrumentation on Dam Structures, Maintenance and Purchase of Permanent Operating Equipment, and Non-dredging Channel Maintenance, excluding dredging for hydropower features.~~

Includes all Non-Baseline costs for power plant maintenance and repair, replacements, additions and efficiency improvements to, and retirement of all power plant structures; of facilities and equipment required for production, transmission, and distribution of electrical power, including but not limited to the power plant, spillway, low flow bypass systems, storage facilities, turbines, motors, pumps, generators, and governors; of all accessory electrical or electronic equipment and control systems; of all water, air, and oil systems; of all intake structures with electrical and mechanical equipment; of the tailrace, switchyard, transformer yard, elevators, trash racks; of lighting and interior power distribution systems, cable tunnels and conduit runs; and installation of instrumentation. Includes spare parts, special and regular tools, supplies and equipment, scaffolding, and rental of specialized equipment. Includes labor and materials, and incidental expenses incurred to maintain maintenance records; expenses incurred by the power plant management and support staff in the general supervision of the maintenance of the hydraulic generating station; and transportation and per diem costs required to perform power plant maintenance functions. ~~This account excludes operational maintenance.~~ Dredging is included in Work Category Code 61320. See Work Category Code 61310 (61311-61314) for Baseline accounts.

WORK CATEGORY CODE: **61320** - Dredging Activities for the Hydropower Function, FERC #543
~~(Includes elements for hydropower activities of old Feature Costs Codes 63333, 63334 and 63335)~~

WORK CATEGORY DESCRIPTION: Dredging for hydropower activities including all disposal activities.

Includes all costs for maintenance dredging and disposal activities, except project condition sediment survey costs which are included in Work Category Code 60321. It also includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61330**

WORK CATEGORY DESCRIPTION: Reserved.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **61340** - Water Management (Control and Quality) Equipment for the Hydropower Function, FERC #542 ~~(Includes elements for hydropower activities of old Feature Cost Code 63010)~~

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for hydropower features.

Includes all costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

WORK CATEGORY CODE: **61351** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Hydropower Function, FERC #545 ~~(Includes elements for hydropower activities of old Feature Cost Code 62000)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for hydropower features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management, which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61352** - Real Estate - Resolution of Real Estate Encroachments for the Hydropower Function, FERC #545 ~~(Includes elements for hydropower activities of old Feature Cost Code 62060)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for hydropower features.

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Work Category Codes and Definitions

O&M Maintenance Accounts

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. The costs for boundary line surveys and remarking are not included in this Work Category.

WORK CATEGORY CODE: **61353** - Real Estate - Boundary Monumentation and Rectification for the Hydropower Function, FERC #545 ~~(Includes elements for hydropower activities of old Feature Cost Code 62080)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for hydropower features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation which is included in Work Category Code 60411.~~ Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61360** - Environmental Compliance (Remedial Actions) for the Hydropower Function, FERC #545 ~~(Includes elements for hydropower activities of old Feature Cost Codes 62116, 62360, 62640, 62750, 62840, 63270, and 63340)~~

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for Dams, Levees, Other Control Structures, Power Plants, Pumping Plants, and Other Facilities for hydropower features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for dams, levees, other control structures, power plants, pumping plants, and other facilities. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

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Work Category Codes and Definitions

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WORK CATEGORY CODE: **61370 (61371-61374)** - O&M Major Rehabilitation Projects for the Hydropower Function ~~(Includes elements for hydropower activities of old Feature Cost Codes 62331, 62332, 62333, 62334, 62335).~~ Costs for this function will be further sub-divided as follows:

61371 - Comprehensive Replacement Supervision, FERC #541. Costs for labor, materials and expenses incurred in the supervision of the comprehensive replacement of hydraulic power generating stations. Direct supervision of specific jobs is charged to the appropriate maintenance feature;

61372 - Comprehensive Replacement of Structures, FERC #542. Costs for labor, materials and expenses incurred in the comprehensive replacement of the powerhouse, switchyard, and power intake works whether or not the powerhouse is an integral part of the intake dam;

61373 - Comprehensive Replacement of Electric Plant, FERC #544. Costs for labor, materials and expenses incurred in the comprehensive replacement of the power plant generating and accessory electrical and mechanical equipment, and switchyard electrical and mechanical equipment;

61374 - Comprehensive Replacement of Miscellaneous Hydraulic Plant, FERC # 545. Costs for labor, materials and expenses incurred in the comprehensive replacement of the power plant and switchyard hydraulic plant.

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Work Category Codes and Definitions

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WORK CATEGORY DESCRIPTION: Remaining O&M Funded Major Rehabilitation (Comprehensive Replacement) projects for hydropower features.

Includes all costs for comprehensive major rehabilitation, replacement, repair, additions and efficiency improvements, including supervision, of all power plant structures, electric plant, miscellaneous hydraulic plant, power plant intake works; of facilities and equipment required for production, transmission, and distribution of electrical power, including but not limited to the power plant, spillway, low flow bypass systems, storage facilities, turbines, motors, pumps, generators, and governors; of all accessory electrical or electronic equipment and control systems; of all water, air, and oil systems; of all intake structures with electrical and mechanical equipment; of the tailrace, switchyard, transformer yard, elevators, trash racks; and of lighting and interior power distribution systems, cable tunnels and conduit runs. Includes labor and materials, special and regular tools, supplies and equipment, scaffolding, and rental of specialized equipment. ~~This feature excludes operational maintenance.~~ See Work Category Codes 61310 (61311-61314) and 613N0 (613N1-613N4).

NOTE: Major Rehabilitation work is now funded under the Construction, General (CG) appropriation. Work items for Major Rehabilitation Evaluation Reports are included in Work Category Code 60325. This Work Category will be used only until current O&M funded Major Rehabilitation projects are completed.

WORK CATEGORY CODE: **61380**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61390**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61411** - Maintenance of Natural Resource Facilities (~~Includes old Feature Cost Code 62410~~)

WORK CATEGORY DESCRIPTION: Maintenance of Natural Resource Facilities.

Includes all costs to perform maintenance needed to conserve and protect natural resources and associated facilities located on project lands. This Work Category only includes costs during the conservation or protection effort.

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Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61412** - Mitigation of Archeological and Cultural Resources ~~(Includes old Feature Cost Code 62430)~~

WORK CATEGORY DESCRIPTION: Mitigation of Archeological and Cultural Resources such as Sites, Structures, and Objects.

Includes all costs to manage, curate, maintain and rehabilitate identified archeological collections and associated documentation, and long term collections management, and outreach, educational, Native people programs. Also includes cultural resources mitigation costs to protect, recover, preserve or otherwise mitigate significant archaeological, historical, and cultural buildings, sites, structures or objects. This Work Category only includes costs during the recovery, preservation, or mitigation effort.

WORK CATEGORY CODE: **61413** - Maintenance of Wildlife Mitigation Features ~~(Includes old Feature Cost Code 62450)~~

WORK CATEGORY DESCRIPTION: Maintenance of Wildlife Mitigation Features.

Includes all costs for the maintenance and repair of wildlife mitigation features to comply with Federal laws and mitigation requirements to offset losses caused by existing and new project activities. This Work Category only includes costs during the mitigation effort.

WORK CATEGORY CODE: **61414** - Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures ~~(Includes old Feature Cost Code 62420)~~

WORK CATEGORY DESCRIPTION: Maintenance of Fisheries, Fish Haulage Activities and Fish Passage Structures for environmental stewardship features.

Includes all costs for maintenance and repair of fish hatcheries, egg collection stations, transportation equipment, and fish passage facilities, excluding operational maintenance.

WORK CATEGORY CODE: **61421** - Dredging Activities for the Environmental Stewardship Function ~~(Includes elements for environmental stewardship activities of old Feature Costs Codes 63333, 63334 and 63335)~~

WORK CATEGORY DESCRIPTION: Dredging of Channels and Canals for environmental stewardship activities including all disposal activities. Disposal activities include, but are not limited to, confined, open water, beach, wetland creation, aquatic habitat creation, etc.

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Work Category Codes and Definitions

O&M Maintenance Accounts

Includes all costs for maintenance dredging of project channels and canals, and disposal activities, except project condition sediment survey costs which are included in Work Category Code 60420. It also includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. This Work Category also includes all costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; creation or restoration of wetlands or other aquatic habitat using dredged material; and creation of land using dredged material. Also includes related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE: **61422** - Dredging - Construction and Maintenance of Disposal Facilities for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Codes 63331 and 63332~~)

WORK CATEGORY DESCRIPTION: Construction and Maintenance of Disposal Facilities for Dredged Materials for environmental stewardship features.

Includes all costs for the construction and the maintenance of disposal facilities including confined disposal facilities, and required real estate activities. Also includes related costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61430**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61440** - Water Management (Control and Quality) Equipment for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Code 63010~~)

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for environmental stewardship features.

Includes all costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

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Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61451** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Code 62000~~)

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for environmental stewardship features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61452** - Real Estate - Resolution of Real Estate Encroachments for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Code 62060~~)

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for environmental stewardship features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking are included in Work Category Code 61453.

WORK CATEGORY CODE: **61453** - Real Estate - Boundary Monumentation and Rectification for the Environmental Stewardship Function (~~Includes elements for environmental stewardship activities of old Feature Cost Code 62080~~)

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for environmental stewardship features.

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation which is included in Work Category Code 60411.~~ Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61460** - Environmental Compliance (Remedial Actions) for the Environmental Stewardship Function ~~(Includes old Feature Cost Code 62440 and elements for environmental stewardship of old Feature Cost Code 63270)~~

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) of Natural Resources including Other Service Facilities for environmental stewardship features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for natural resources and other environmental stewardship features. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **61470**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61480**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61490**

WORK CATEGORY DESCRIPTION: Reserved.

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61511** - Maintenance of Recreation Features ~~(Includes old Feature Costs Codes 62910 and 62940, and elements for recreation activities of old Feature Cost Code 62950)~~

WORK CATEGORY DESCRIPTION: Maintenance of Recreation areas and Facilities, Visitor Centers, ~~Other Recreation Service Facilities —~~ (Buildings, Grounds, Utilities, Roads and Bridges), ~~and~~ Erosion Control in Recreation Areas, and Maintenance and Purchase of Permanent Operating Equipment for recreation features.

Includes all costs for the maintenance and repair, replacement, additions and efficiency improvements to, or retirement of, visitor center buildings, displays, audiovisual systems, heating and cooling systems, landscaping, grounds, exhibits and utilities; recreation facilities and structures such as grills, tables, playgrounds, trails, campgrounds, picnic areas, restrooms, showers, boat ramps, parking areas, roads, grounds, utilities associated with recreation use, buildings used for recreation purposes or the collection of fees and other structures used to support the recreation function. Also included are the costs for realignment, overlay, grading, and widening, of roads, parking areas, bridges and walkways associated with recreational development, and all costs for control of erosion endangering recreational areas or facilities, including seeding, sodding, riprap, gabions, vegetation, retaining walls and other measures. Also includes the costs for permanent operating equipment such as backhoe, trencher, bucket truck, tractor loader, vehicles, communications equipment, and computers used to support the recreation function of the project. This Work Category also includes costs for spare parts, replacements, additions, special tools, miscellaneous materials and supplies, transportation costs and equipment usage, and costs to bring facilities up to modern design standards and to provide ~~handicap universal~~ accessibility for persons with disabilities as required. ~~Operational maintenance is included in Work Categories 60511 and 60512.~~

Costs for E&D plans and specifications for the Recreation Modernization Program should be included here.

This work category includes costs previously included in WCC 61512, Maintenance of Recreation Facilities using SRUF funds (see paragraph C-2.15 SRUF).

WORK CATEGORY CODE: **61512** - Maintenance of Recreation Features Using Special Recreation Users Fee (SRUF) Funds ~~(Includes old Feature Costs Code 62990)~~

WORK CATEGORY DESCRIPTION: ~~Maintenance of Recreation Areas using Special Recreation User Fees (SRUF) including Visitor Centers, Other Recreation Facilities — Buildings, Grounds, Utilities, Roads and Bridges, and Erosion Control in Recreation Areas, and Maintenance and Purchase of Permanent Operating Equipment for recreation features.~~

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

~~Includes all maintenance costs which utilize Special Recreation Users Fee (SRUF) funds. Includes all costs associated with the maintenance of visitor centers, recreation areas and facilities to perform activities as described in Work Category Code 61511. SRUF funds can be used to supplement the costs to operate, maintain, and when feasible, improve recreation facilities. SRUF funds are first to be used to finance normal O&M activities so as to ensure continued operation and maintenance of these facilities.~~

SRUF costs previously included under WCC 61512 should now be included under WCC 61511.

WORK CATEGORY CODE: **61513** - Maintenance of Recreation Features - Cost Shared Recreation Developments ~~(Includes old Feature Cost Code 62980)~~

WORK CATEGORY DESCRIPTION: Cost Shared Recreation Developments - Contracts and Negotiations.

Includes all recreation cost share agreements and contract costs; costs to reimburse local sponsors; and costs for monitoring and negotiating agreements related to cost sharing.

WORK CATEGORY CODE: **61520** - Dredging Activities for the Recreation Function ~~(Includes elements for recreation activities of old Feature Costs Codes 63333, 63334 and 63335)~~

WORK CATEGORY DESCRIPTION: Dredging for recreation activities including all disposal activities.

Includes all costs for maintenance dredging and disposal activities, except project condition sediment survey costs which are included in Work Category Code 60520. It also includes the costs for before, during and after dredging surveys, required real estate activities, E&D, S&A, etc. Also included are costs to obtain environmental clearances to perform the associated dredging. Also includes all costs associated with the disposal of dredged materials as sand on beaches, and related costs for spare parts, special tools, miscellaneous materials and supplies, transportation, disposal, and equipment.

WORK CATEGORY CODE **61530**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61540** - Water Management (Control and Quality) Equipment for the Recreation Function ~~(Includes elements for recreation activities of old Feature Cost Code 63040)~~

WORK CATEGORY DESCRIPTION: Purchase and Maintenance of Water Management (Control and Quality) Equipment for recreation features.

Includes all costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

WORK CATEGORY CODE: **61551** - Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for the Recreation Function ~~(Includes elements for recreation activities of old Feature Cost Code 62000)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits for recreation features.

Includes all costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests. Also includes real estate payments for acquisition of real property and interests therein. Costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired. Includes all administrative costs incurred in connection with timber disposal in support of forest management activities, such as contract administration, and inspection, but excludes the staff supervision of timber management which is included in Work Category Code 60411.

WORK CATEGORY CODE: **61552** - Real Estate - Resolution of Real Estate Encroachments for the Recreation Function ~~(Includes elements for recreation activities of old Feature Cost Code 62060)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Resolution of Real Estate Encroachments for recreation features.

Includes all costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting. Costs for boundary line surveys and remarking are included in this Work Category Code 61553.

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61553** - Real Estate - Boundary Monumentation and Rectification for the Recreation Function ~~(Includes elements for recreation activities of old Feature Cost Code 62080)~~

WORK CATEGORY DESCRIPTIONS: Real Estate - Boundary Monumentation and Rectification for recreation features.

Includes all costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions, and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation which is included in Work Category Code 60411.~~ Under normal circumstances there will be no work items in the Baseline funding level for this Work Category.

WORK CATEGORY CODE: **61560** - Environmental Compliance (Remedial Actions) for the Recreation Function ~~(Includes old Feature Cost Code 62914)~~

WORK CATEGORY DESCRIPTION: Environmental Compliance (remedial actions) for recreation features.

Includes all maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for recreation facilities and visitor centers. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

WORK CATEGORY CODE: **61570**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61580**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61590**

WORK CATEGORY DESCRIPTION: Reserved.

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61610** - Joint Activities for Maintenance excluding Dredging, FERC #541, #542, #543, #544 and #545 ~~(Includes elements for joint activities of old Feature Cost Codes 62111, 62115, 62120, 62210, 62240, 62310 (62311-62315), 62320 (62321-62325), 62370 (62371-62775), 62610, 62710, 62740, 62810, 63020, 63210, 63240 and 63321)~~

WORK CATEGORY DESCRIPTION: Joint costs for Maintenance activities NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation. These activities include maintenance of Dams, Reservoirs, Levees, Floodwalls, Hurricane Barriers, and Other Control Structures; Snagging, Clearing, Aquatic Plant Removal, Rock and Other Debris Removal, and Other Non-Dredging Channel Maintenance; Pumping Plants, Other Service Facilities (Buildings, Grounds, Utilities, and Roads, Railroads and Bridges), Maintenance and Purchase of Permanent Operating Equipment, etc. excluding dredging.

Includes all joint costs for the maintenance and repair, ~~excluding operational maintenance~~, replacement, additions and efficiency improvements to, or retirement of; related joint costs for spare parts, replacements, additions, special tools, miscellaneous supplies and materials; government plant and hired labor for project maintenance and contract support, transportation costs and other costs required to perform this maintenance function; purchase of permanent operating equipment:

of joint use facilities and equipment for **dams, spillways, outlet works and auxiliary dams;**

of **reservoirs and facilities** including floating trash booms, trash racks, erosion control, drainage, major periodic or one time removal of debris or aquatic growth to ensure proper functioning of the reservoir (minor and routine removal of growth and debris in the vicinity of dam structures and from reservoirs should be charged to Work Category Code 60610); and rim grouting or mine sealing, etc., to prevent leakage;

of **levees, floodwalls, hurricane barriers, embankments, walls, in-channel structures, and other control structures to protect areas from inundation; snagging, clearing, debris removal; and non-dredging channel maintenance.** This includes costs for removal of trees, brush, accumulated snags, drifts, and debris from canals and waterways; and channel improvement structures, revetments, linings, dikes, jetties, bulkheads, and buildings;

of **pumping plants** including such items as buildings, pumps, and prime movers including power supplies, controls, piping, and all other associated facilities;

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

of **non-dredging channel maintenance** including snagging, clearing, aquatic plant removal, removal of sunken vessels, drift removal, rock and other debris removal;

of **buildings, grounds, utilities, and roads, railroads and bridges**, such as administration and shop buildings, storage and garage buildings and areas, other non-leased or rented project buildings, local streets and sidewalks, project access roads, including the road across dams, parking areas, bridges, railroads, and walkways. Also includes costs for project utilities including electrical, gas, water, and sewer systems;

of **permanent operating equipment**;

and for **instrumentation on dam structures, levees, floodwalls, hurricane barriers, and other control structures** including costs related to installation and maintenance of instruments in existing structures for safety evaluation purposes consistent with an approved plan. This includes instrumentation for measuring horizontal and vertical movement, stresses and strains, pore pressure, phreatic surfaces, seismic effects, and seepage clarity and quality.

WORK CATEGORY CODE: **61621** - Joint Activities for Dredging, FERC #543 (~~includes elements for joint activities of old Feature Cost Codes 63311, 63312, 63333, 63334 and 63335~~)

WORK CATEGORY DESCRIPTION: Joint costs for Dredging of Channels and Canals NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation. These activities include all disposal activities such as confined, open water, beach, wetland creation, aquatic habitat creation, etc.

Includes all joint costs for maintenance dredging of project channels and canals, and disposal activities, except for project condition sediment survey costs which are included in Work Category Code 60621. Also included are joint costs to obtain environmental clearances to perform the associated dredging. Long-range environmental requirements and costs for initial project condition surveys are included in related operations accounts. Also includes joint costs associated with the disposal of dredged materials in confined disposal facilities; open water; sand on beaches; the creation or restoration of wetlands or other aquatic habitat using dredged material; and the creation of land using dredged material. Also includes related joint costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61622** - Joint Activities for Dredging - Construction and Maintenance of Dredged Material Disposal Facilities, FERC #543 (~~includes elements for joint activities of old Feature Cost Codes 63331 and 63332~~)

WORK CATEGORY DESCRIPTION: Joint costs for the Construction and Maintenance of Disposal Facilities for Dredged Materials NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

Stewardship, and Recreation.

Includes all joint costs for the construction and the maintenance of disposal facilities, including confined disposal facilities, for dredged materials. Also includes related joint costs for spare parts, replacements, special tools, miscellaneous materials and supplies, transportation and equipment usage.

WORK CATEGORY CODE: **61630**

WORK CATEGORY DESCRIPTION: Reserved

WORK CATEGORY CODE: **61640** - Joint Activities for Water Management Equipment, FERC #542
(Includes elements for joint activities of old Feature Cost Code 63010)

WORK CATEGORY DESCRIPTION: Joint costs for the Purchase and Maintenance of Water Management (Control and Quality) Equipment NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for the purchase of new or replacement equipment (upgrades or expansion) and the maintenance of existing equipment used to acquire, process, display, and distribute data associated with project water management and regulation (water control and quality). This includes only those costs related to equipment justified in approved Division water management Master plans. Purchase of multi-project equipment will be included in the Revolving Fund (PRIP).

WORK CATEGORY CODE: **61651** - Joint Activities for Real Estate - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits, FERC #545
(Includes elements for joint activities of old Feature Cost Code 62000)

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Land Acquisition and Disposal Management Activities, Settlement of Claims, and Audits NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for planning, appraisal, negotiation, condemnation, relocation assistance, mapping, surveying, title evidence, inspections, closings, audits and temporary permits necessary to acquire or dispose of lands and interests, real estate payments for acquisition of real property and interests therein, and costs to take necessary actions to settle claims, including damage payments arising from claims over the use and occupancy of land, real property and timber in which fee, easements, or lesser interests were not acquired.

WORK CATEGORY CODE: **61652** - Joint Activities for Real Estate - Resolution of Real Estate Encroachments, FERC #545 (Includes elements for joint activities of old Feature Cost Code 62060)

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Resolution of Real Estate Encroachments NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs for the resolution of all encroachments on project lands, and degradation of public lands and encroachments adversely affecting the intended uses of potentially high use areas; including investigation, acquisition, disposal, and out-granting.

WORK CATEGORY CODE: **61653** - Joint Activities for Real Estate - Boundary Monumentation and Rectification, FERC #545 (~~Includes elements for joint activities of old Feature Cost Code 62080~~)

WORK CATEGORY DESCRIPTION: Joint costs for Real Estate activities - Boundary Monumentation and Rectification NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation.

Includes all joint costs to survey and mark boundary lines in support of acquisition; to resurvey or remark boundary lines and place monuments in support of Executive Order actions and disposal actions; and costs to survey and mark boundary lines where not previously completed. ~~Excludes operational maintenance of boundary monumentation.~~

WORK CATEGORY CODE: **61660** - Joint Activities for Environmental Compliance (Remedial Actions), FERC #545 (~~Includes elements for joint activities of old Feature Cost Codes 62116, 62250, 62360, 62440, 62640, 62750, 62840, 62911, 63270, and 63340~~)

WORK CATEGORY DESCRIPTION: Joint costs for Environmental Compliance (remedial actions) NOT specific to Navigation, Flood Damage Reduction, Hydropower, Environmental Stewardship, and Recreation. These activities include actions for Dams, Levees, Other Control Structures, Pumping Plants and Other Project Facilities.

Includes all joint costs maintenance, repair and remediation costs to comply with applicable Federal laws and regulations, including the Safe Drinking Water Act, Resource Conservation and Recovery Act (RCRA), Clean Air Act, Hazardous Materials Transportation Act, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and applicable state and local regulations for dams, reservoirs, levees, other control structures, pumping plants and other joint use project facilities. Federal, DOD and Corps of Engineers requirements are described in the ERGO/TEAM environmental compliance assessment manuals. Costs include salaries, contaminant detection, waste analysis, site investigations, site remediation, treatment system installation, repair, renovation, modification, and other costs associated with compliance. Costs associated with medical surveillance and other employee health and safety requirements are not included. Environmental compliance program requests must also include the mandatory data elements of the FEDPLAN Report authorized by Executive Order 12088.

Table C-2.3d
Work Category Codes and Definitions

O&M Maintenance Accounts

WORK CATEGORY CODE: **61670**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61680**

WORK CATEGORY DESCRIPTION: Reserved.

WORK CATEGORY CODE: **61690**

WORK CATEGORY DESCRIPTION: Reserved.

TABLE C-2.4

SUBMISSION REQUIREMENTS

| ILL. NO. | ITEMS | HARD COPY | ADP | NO. COPIES | DUE DATE (NLT) |
|----------|---|-----------|-----|------------|--------------------------------------|
| | Work package information into computer | | X | N/A | 145 May 19992000 |
| | Final MSC rankings into computer | | X | N/A | 142 June 19992000 |
| | Baseline Level PB-2a For Major Rehabilitation Projects. (Reduced to 8 1/2" x 11") | X | | 4 | 30 June 19992000 (See Appendix B) |
| | Evaluation Reports for Major Rehabilitation Projects | X | | 3 | 15 March 19992000 |
| B-2.4 | BY Justification Sheet for Major Rehabilitation Projects | | | N/A | 1 June 19992000 (See Appendix A) |
| C-2.1 | Supplemental Justification Major Maintenance | | | 3 | 142 June 19992000 |
| C-2.2 | Supplemental Justification - Budgeted Material Management | X | | 3 | 1 July 30 June 19992000 |
| C-2.3 | Worksheet For Four-year Program | X | | N/A | 3/ |
| C-2.4 | Four-year Program | | | N/A | 3/ |
| C-2.5 | Justification of Estimates (Congressional Submission) | | X | N/A | 1/ 2/ |

1/ Precise suspense date for Congressional submission of Justification of Estimate Sheets will be the subject of later correspondence.

2/ Information required electronically in WordPerfect format as specified in relevant sections of this EC.

3/ For use by Districts and MSC's to develop four-year program. No submittal required.

TABLE C-2.4
OPERATION AND MAINTENANCE, GENERAL (O&M, Gen.)
AND
FLOOD CONTROL, MISSISSIPPI RIVER AND TRIBUTARIES
(MAINTENANCE)(MR&T)
TARGETS
(Dollars in Millions)

| MSC | Program Year (PY) Targets |
|---------------------------------------|------------------------------|
| | Total PY Target |
| LRD | 356 |
| MVD | 351 |
| NAD | 199 |
| NWD | 226 |
| POD | 10 |
| SAD | 316 |
| SPD | 98 |
| SWD | 260 |
| Total MSCs, O&M, Gen. | 1,816 |
| FC, MR&T (Maintenance) | 140 |

NOTE: See narrative in Subappendix C-2 for guidance concerning program development and definition.

| TABLE C-2.5 TIER II PERFORMANCE MEASURES For O&M PROGRAM SUBMITTAL | | | | |
|---|---|-----------------------------------|--|-------------------|
| ENTRY # | PROPONENT MANAGER | BUSINESS FUNCTION | PERFORMANCE MEASURE | FY GOAL |
| 1 | CECW-OD Barry Holliday 202-761-8832 | Navigation | Percent Time Achieve Purpose - Coastal | <u>90%</u> |
| 2 | CECW-OD Barry Holliday 202-761-8832 | Navigation | Percent Time Achieve Purpose - Inland | <u>95%</u> |
| 3 | CECW-OM Harold Tohlen 202-761-1713 | Flood Damage Reduction | Availability | 95% |
| 4 | CECW-OM Harold Tohlen 202-761-1713 | Hydropower | Forced Outage | less than 4.5% |
| 5 | CECW-OM Harold Tohlen 202-761-1713 | Hydropower | Unit Availability | 90% |
| 6 | CECW-ON Darrell Lewis 202-761-1788 | Recreation | Percent Cost of Recreation Program Recovered | 20% |
| 7 | CECW-ON Darrell Lewis 202-761-1788 | Recreation | Customer Satisfaction with Quality of Facilities & Services | 90% |
| 8 | CECW-ON Darrell Lewis 202-761-1788 | Environmental – Natural Resources | Mitigation Lands meeting Requirements | 70% |
| 9 | CECW-ON Darrell Lewis 202-761-1788 | Environmental – Natural Resources | Recovery of Federally Listed Species | 30% |
| 10 | CECW-OA Jim Wolcott 202-761-1200 | Environmental – Compliance | a. Significant Findings Corrected b. Major Findings Corrected | a. 100% b. 75% |

Tier II Performance Measure #1

NAVIGATION PERFORMANCE MEASURE - HARBORS

PURPOSE: To provide safe, reliable, and efficient waterborne transportation systems (channels, harbors, and waterways) for movement of commerce, national security needs, and recreation.

The harbors include both the deep draft (>14 feet depth) and shallow draft waterborne transportation system consisting of ports, harbors, channels, and waterways, including the harbors of the inland waterways, whose maintenance costs are reimbursed from the Harbor Maintenance Trust Fund.

The goal for the harbors is all harbors will achieve their acceptable level of service 90 percent of the time during the established navigation season.

The essence of these performance measures involves seeking a mutual agreement with the users/local sponsors/stakeholders as to what is an acceptable level of service. Your respective goal should be achieving 100 Percent of that agreed upon level of service based on appropriated and reprogrammed project funds. Thus you will be tying your performance to your program, appropriated and reprogrammed project funds, with an acceptable level of service to your customers.

There are several scenarios in achieving your respective goals.

For the harbors, the main activity will be dredging and dredged material disposal to maintain channel dimensions. Some projects will have jetties, breakwaters, and other structures as additional features of the project to maintain as part of project performance. For most of the deep draft projects, the stakeholders will seek to negotiate full project dimensions, 100 Percent of the time. In many projects, this will be possible with annual appropriated and reprogrammed project funds. Some projects, due to environmental windows, disposal constraints, seasonal weather conditions, or differing sediment characteristics below project depth, can not be maintained at full project dimensions 100 Percent of the time. You need to strive to achieve an acceptable level of service that is reasonable and justified with respect to commercial vessel users not exceeding design vessel dimensions for the constructed project channels. Local sponsor and/or vessel operator complaints concerning available channel dimensions for vessels that exceed the constructed channel dimensions, will not be considered in the acceptable level of service.

Tier II Performance Measure #2

NAVIGATION PERFORMANCE MEASURE - INLAND WATERWAYS

PURPOSE: To provide safe, reliable, and efficient waterborne transportation systems (channels and waterways) for movement of commerce, national security needs, and recreation.

The inland waterways are the waterborne transportation system consisting of channels, locks, and pools of the inland rivers and the intra-coastal channels along the Atlantic and Gulf coasts that support commerce, national security needs, and recreation. Commercial transportation on these waterways is subject to the Inland Waterways Fuel Tax.

The goal for the inland waterways is all inland waterways projects will achieve their acceptable level of service 95 percent of the time during the established navigation season.

The essence of these performance measures involves seeking a mutual agreement with the users/local sponsors/stakeholders as to what is an acceptable level of service. The goal should be achieving 100 Percent of that agreed upon level of service based on appropriated and reprogrammed project funds. Thus you will be tying your performance to your program, appropriated and reprogrammed project funds, with an acceptable level of service to your customers.

There are several scenarios in achieving these goals.

For the inland waterways, the project can include several activities, including lock operations, dredging/channel maintenance, and water control structures. If a lock is not available for 95 Percent of the time, but the channels are at project dimensions for 100 Percent of the time, you have not met your goal. All project features will influence attaining the goal. In the event of a natural disaster (flooding), where either the U.S. Coast Guard or the Corps has closed the project channel/locks or a portion of the project channel to navigation, this will be an exception and not included in the 95 percent availability. Scheduled or unscheduled closure, during the established navigation season, which are not due to a natural disaster, will be considered in the 95 percent availability. There also may be projects where the need for waterborne transportation is seasonal, and you may develop a level of service acceptable to the stakeholders that allows the channels to shoal in during the non-navigation season, and still attain 100 Percent of your project acceptable level of service.

Tier II Performance Measure #3

FLOOD DAMAGE REDUCTION (FDR) PERFORMANCE MEASURE

| | |
|------------------------|--|
| Corporate Goal: | 100 Percent Availability |
| Customers: | People directly affected by the Corps Civil Works flood damage reduction system. Taxpayers |
| Measure: | Project Availability |
| Definition: | The number of days a project is one hundred percent (100 Percent) operational to perform its flood damage reduction function. "operational" means the project's features are fully functioning as designed and constructed or can be made functional (i.e., using backup systems) if needed in response to a spillway design type flood event. If a project feature is down for whatever reason and cannot be made functional in time to respond to a flood event then the project is unavailable for that day. "features" include but are not limited to, dams, levees, embankments, dikes, gates, spillways, channels and outlet structures. |
| Demonstrates: | The effectiveness of the FDR system to provide national benefits, and a level of maintenance over time. Government managers may interpret the data from this measure in order to allocate resources in support of the FDR mission. |
| Unit of Output: | The number of days in a fiscal year quarter a project is in compliance with the definition. The days are rolled up into District, MSC and Corps values expressed as a percentage of the total days within the quarter. |
| Data Source: | Quarterly data calls from HQUSACE proponent to MSCs. |

Tier II Performance Measure #4

HYDROPOWER PERFORMANCE MEASURE

| | |
|------------------------|--|
| Program Goal: | Maintain a high degree of hydroelectric generating unit availability. |
| Corporate Goal: | The goal is for the forced outages to be less than 4.5 Percent. This will be refined as power industry data is analyzed. |
| Measure: | Forced outages. |
| Definition: | The percentage of time that generating units are not available because of unforeseen circumstances. This percentage is determined by dividing the unplanned outage hours by the total hours in the period. A low unplanned outage percentage demonstrates a high degree of reliability of the hydropower plants. It also reduces the cost to the customer in that they do not have to go to more expensive alternative sources. For demonstration purposes this measure will be displayed as the traditional unplanned outage percentage (industry averages available) and as a Megawatt capacity weighted unplanned outage percentage (no industry averages available). |

Tier II Performance Measure #5

HYDROPOWER PERFORMANCE MEASURE

| | |
|------------------------|---|
| Program Goal: | Maintain a high degree of hydroelectric generating unit availability. |
| Corporate Goal: | The goal for unit availability is 90 Percent. This will be refined as power industry data is analyzed. |
| Measure: | Unit availability. |
| Definition: | Unit availability is the total available hours of all generator units divided by the total hours in the period (expressed as a percentage). |

Tier II Performance Measure #6

RECREATION PERFORMANCE MEASURE

| | |
|------------------------|---|
| Program Goal: | To provide outdoor recreation opportunities in an effective and efficient manner. |
| Corporate Goal: | 20 Percent |
| Measure: | Percent Cost of Recreation Program Recovered |
| Customer: | The public |
| Definition: | Revenues generated by the Corps recreation programs divided by the costs of providing those programs. Revenues include commercial concession receipts, user fee receipts, and quasi public recreation receipts. Costs include WCCs 605xx and 615xx, and the recreation allocation of 606xx and 616xx, where applicable. |
| Demonstrates: | Corps effectiveness of implementation of the user fee program. |
| Data Source: | CEFMS, NRMS, REMIS |

Tier II Performance Measure #7

RECREATION PERFORMANCE MEASURE

| | |
|------------------------|--|
| Program Goal: | To provide continued outdoor recreation opportunities to meet the needs of present and future generations. |
| Corporate Goal: | 90 Percent of customers rating facilities and services as acceptable or better for the price. |
| Customer: | The public |
| Measure: | Customer satisfaction with quality of facilities and services. |
| Demonstrates: | Corps effectiveness in providing quality recreation facilities and services to meet customer needs. |
| Data Source: | Customer Satisfaction Survey |

Tier II Performance Measure #8

ENVIRONMENTAL - NATURAL RESOURCES PERFORMANCE MEASURE

| | |
|------------------------|---|
| Program Goal: | Corps mitigation outputs meet the requirements of authorizing legislation or relevant Corps decision document. |
| Corporate Goal: | 70 Percent of Corps administered mitigation lands (acres) achieving Corps mitigation requirements. |
| Customer: | The Public |
| Measure: | Percent of Corps administered mitigation lands (acres) meeting the requirements in the authorizing legislation or relevant Corps of Engineers decision document. |
| Definition: | <p>Number of designated Corps administered mitigation lands (acres) meeting mitigation requirements divided by the total number of designated Corps administered mitigation lands (acres).</p> <p>Mitigation lands: Mitigation lands are those lands on which mitigation measures are taken to compensate for adverse ecological impacts unavoidably caused by Corps projects or activities. For the performance measure, these lands are those authorized by Congress or approved by HQUSACE in a formally documented decision.</p> <p>Corps administered lands: Corps lands either managed by the Corps, or lands licensed, permitted or leased from the Corps.</p> |
| Demonstrates: | Status of Corps efforts to meet mitigation requirements. |
| Data Source: | Operational Management Plans, Natural Resources Management System - data fields to be determined. |

Tier II Performance Measure #9

ENVIRONMENTAL - NATURAL RESOURCES PERFORMANCE MEASURE

| | |
|------------------------|---|
| Program Goal: | Assist in the recovery of Federally listed species. |
| Corporate Goal: | Accomplish Recovery Plan requirements for 30 Percent of Federally listed species identified in those Recovery Plans which designate the Corps as having recovery requirements. |
| Customer: | The Public. |
| Measure: | Percent of Federally listed species with final Fish and Wildlife Service (FWS)/ National Marine Fisheries Service (NMFS) Recovery Plans for which Corps is accomplishing ascribed FWS/ NMFS Recovery Plan requirements. |
| Definition: | Number of species with final FWS/NMFS Recovery Plans for which the Corps is accomplishing ascribed FWS/NMFS Recovery Plan requirements divided by the number of species for which the Corps has recovery requirements specified in final FWS/NMFS Recovery Plans. |
| Demonstrates: | Corps accomplishment of its responsibilities in FWS/ NMFS Federally listed species Recovery Plans. |
| Data Source: | FWS, NMFS, Initial field data call, NRMS-data fields to be determined. |

Tier II Performance Measure #10

ENVIRONMENTAL - COMPLIANCE PERFORMANCE MEASURE

| | | |
|------------------------|--|-------------|
| Program Goal: | Assure that all CW facilities and associated lands (including outgranted areas) comply with environmental requirements contained in relevant Federal, state and local laws and regulations. | |
| Corporate Goal: | a. Significant findings | 100 Percent |
| | b. Major findings | 75 Percent |
| Measure: | a. Percent significant findings corrected vs number identified. (Significant findings require immediate attention. They pose, or have a high likelihood of posing a direct and immediate threat to human health, safety, the environment, or the mission.) b. Percent major findings corrected vs number identified. (Major findings require action but not necessarily immediate attention. They may pose a threat to human health, safety, or the environment.) | |
| Definition: | The number of corrected significant and major findings at Corps operated projects and facilities, not including outgrants, divided by the sum total of significant findings identified as a result of TEAM-ERGO compliance assessments, regulator inspections, daily operating activities, and any uncorrected significant findings from previous years. | |
| Demonstrates: | Annual compliance with environmental laws and regulations is being accomplished. | |
| Unit of Output: | Percent | |
| Data Source: | MSCS/districts/facilities ERGO assessment data. | |

ILLUSTRATION C-2.1
XXXXXXXXXXXX MAJOR SUBORDINATE COMMAND (MSC)
SUPPLEMENTAL JUSTIFICATION SHEET
MAJOR MAINTENANCE

(1) **DESCRIPTION OF WORK:** (Describe specific items of work to be included in the overall package.)

(2) **JUSTIFICATION:** (Provide justification for the total work to be accomplished, including economic evaluation. Quantify benefits when possible. In last paragraph of justification, provide arguments on why the work should be started in the program year, either design or construction; and the impact of not starting the work in the program year. For ongoing work, include the impacts of not continuing the work in the program year. These paragraphs must be in sufficient detail to permit a decision to be made on the investment.)

(3) **ESTIMATED COST AND SCHEDULE:** (Provide the basis of the estimated cost, i.e., based on cost of XYZ PROJECT IN FY 1990 indexed to current price levels, reconnaissance level estimate, e.g. *Design Memorandum D-28 approved 22 January 1993, etc*; and include the amount of contingencies included in the estimate. The cost estimate should be broken down to reflect individual DM's DDRs, procurements, contracts, installations, etc. Schedule dates should be shown only to the month and year, e.g., 11/9600, and all dollar amounts in even thousands, i.e., \$10,000 to be shown as 10. The estimate and schedule should include required fund requirements for engineering and design during construction and other related costs for completion of a total package. If contributed funds are required for Corps construction activities, include in cost estimate and add a line to the schedule with minus entries; so that the total line will reflect Total Federal fund requirements by year.)

This illustration is included to show the additional information required for major maintenance activities. This information will be provided in the format shown in the expanded funding argument field.

ILLUSTRATION C-2.2 (Page 1 of 3)
~~XXXXXXXXXXXX~~ **MAJOR SUBORDINATE COMMAND**
SUPPLEMENTAL JUSTIFICATION SHEET
DREDGED MATERIAL MANAGEMENT PLAN STUDIES
(Dollars in Thousands)

(1) **PROJECT: (Name of Project and State -- Bold Type)** CWIS No.: _____

(2) **DESCRIPTION OF STUDIES:** [Describe scope and depth of studies required to develop DMMP; state whether other Inter-related Federal projects are involved in study, and those projects, if any.]

(3) **JUSTIFICATION:** [Provide justification for the total study to be accomplished. In last paragraph of justification, provide arguments on why the study should be started in the program year, and the impact of not starting the study in the program year. For ongoing studies, include the impacts of not continuing the work in the program year. These paragraphs must be in sufficient detail to permit a decision to be made on the investment, and should refer to the attached supplemental information sheet.]

| (4) ESTIMATED COST AND SCHEDULE: | | | | | | | | | | | | | |
|---|---------------|---------------|---------------|-------|--------------|--------------|------|----|------|------|------|------|-------|
| [Provide the basis of the estimated cost. Schedule dates should be shown only to the month and year, i.e., 11/960002, and all dollar amounts in even thousands, e.g. \$10,000 to be shown as 10. If contributed fund are required for Corps study activities, include in cost estimate and add a line to the schedule with minus entries; so that the total line will reflect Total Federal fund requirements by year.] | | | | | | | | | | | | | |
| Item | HL or Cont | Start Date | Compl Date | Total | Cost Thru | Fiscal Years | | | | | | | |
| | | | | | | BY-2 | BY-1 | BY | BY+1 | BY+2 | BY+3 | BY+4 | Compl |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

(4) **PROBLEMS:** [Include any factor or circumstances, other than Federal funding, which might affect the item. If problems exist, state the expectations for and timing of a resolution.]

(5) **ADDITIONAL INFORMATION:** [Provide any additional information that applies to the work items. If local contributions are required, indicate status of agreement or evidence of intent to contribute.]

~~(6) **SUPPLEMENTAL INFORMATION SHEET:** Attached.~~

ILLUSTRATION C-2.2 (Page 2 of 3)
~~XXXXXXXXXXXX~~ MAJOR SUBORDINATE COMMAND
SUPPLEMENTAL INFORMATION SHEET
DREDGED MATERIAL MANAGEMENT PLAN STUDIES

PROJECT: ~~(Name of Project and State -- Bold Type)~~ _____ CWIS No.: _____

Division Rank: _____ Date: _____

Project Description(s): ~~[Describe project fully, including all authorized dimensions. Give construction completion date(s). Attach project map(s).]~~

Scope of Assessment: ~~[Indicate whether single project or group of projects; relationship to permittee dredging, etc.]~~

Authorization and Development History: ~~[Specifically identify and list all project authorizations, Section 221 agreements, and Local Cooperation Agreements (LCAs), if any. Describe generally other agreements entered into or interests acquired, such as easements, fee acquisition, etc.]~~

Profiles:

_____ **Traffic:** ~~[Describe size, draft and frequency, by channel and/or project segment]~~

_____ **Costs:** ~~[Give long-term historical (15 years) O&M expenditures (total and dredging/disposal), by channel and/or project segment]~~

_____ **Yardage:** ~~[Long-term historical (15 years), by channel and/or project segment]~~

Present dredging and disposal operations: ~~[Describe locations, types of materials, contaminants, distribution, sources of pollution, present disposal sites, permittees, multiple user aspects, etc. Discuss extent to which authorized depths have been maintained.]~~

Disposal Problems and Opportunities:

_____ **Impediments to Continued Maintenance.** ~~[Describe physical constraints, environmental concerns, potential impact on costs, impact on disposal requirements. Include estimate of remaining physical life of existing disposal areas (i.e., number of years until new disposal site must be available and ready for use.)]~~

Potential Beneficial Uses. ~~[Describe potential beneficial uses.]~~

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~~ILLUSTRATION C-2.2 (Page 3 of 3)~~
~~XXXXXXXXXXXX MAJOR SUBORDINATE COMMAND~~
~~SUPPLEMENTAL INFORMATION SHEET~~
~~DREDGED MATERIAL MANAGEMENT PLAN STUDIES~~

APPROPRIATION TITLE: ~~Operation and Maintenance, General, FY (PY).~~

PROJECT: (Name of Project and State -- Bold Type) _____ CWIS No.: _____

Division Rank: _____ Date: _____

Disposal Problems and Opportunities (Continued):

Consistency of Existing Environmental Compliance Documents With Ongoing O&M Activities: [Discuss whether ongoing operations are consistent with currently filed EIS, etc.]

Alternative Options to be Considered: [Discuss principal options to be considered during study.]

Extent of Studies Required: [Describe in sufficient detail to support cost estimate and schedule.]

Non-Federal Sponsor Involvement and Responsibilities: [Discuss non-Federal sponsor responsibilities, including study cost sharing.]

Views of the State(s): [Discuss state views relative to State Coastal Zone Management Program and Section 401 of the Clean Water Act; and the consistency of those views with the "Federal Standard".]

Views of Other Agencies: [Discuss pertinent views of other Federal, state, and local agencies which have a substantial bearing on the necessary studies.]

ILLUSTRATION C-2.3
DISTRICT/MS _____
WORKSHEET FOR FOUR-YEAR PROGRAM
(DOLLARS IN THOUSANDS)

| | PY | PY+1 | PY+2 | PY+3 | <u>PY+4</u> |
|--|-----------|-------------|-------------|-------------|--------------------|
| (1) Total Funded Amount. Estimate the total funded dollar amount within the district. Do not adjust for inflation. | | | | | |
| (2) Baseline. Estimate the size of your baseline in each program year. Do not adjust for inflation. | | | | | |
| (3) Cyclic. Estimate the amount of cyclic work scheduled in each program year. Includes periodic inspections, periodic lock dewatering, periodic maintenance, etc. Do not adjust for inflation. | | | | | |
| (4) Continuing Contracts. Estimate the amount of funded continuing contracts for each program year. Do not adjust for inflation. | | | | | |
| (5) New Requirements. Estimate the amount of funded work packages that were not submitted in the previous year's submittal (excluding the cyclic work in Line 3). Do not adjust for inflation. | | | | | |
| (6) Funded <u>UMAR</u>Backlog. Calculate by taking the total from Line (1) and subtracting Lines (2) through (5). | | | | | |
| (7) Overprogrammed <u>UMAR</u>Backlog (3 Percent of Total Funding). This value represents 3 Percent of Line 1, or \$1 million, whichever is greater. | | | | | |
| (8) Total Scheduled <u>UMAR</u>Backlog. This value represents the sum of Lines 6 and 7. | | | | | |

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ILLUSTRATION C-2.4
DISTRICT/MS _____
FOUR-FIVE-YEAR PROGRAM
PY+__

| | Dollars in Thousands |
|----------------------|-------------------------|
| FUNDED TOTAL | |
| Baseline | |
| Cyclic | |
| Continuing Contracts | |
| New Requirements | |
| Subtotal | |

| District | Description | |
|--|-------------|--|
| a. | | |
| b. | | |
| etc. | | |
| Subtotal Funded <u>UMAR</u> Backlog packages less than \$100,000 | | |
| Total Funded <u>UMAR</u>Backlog Packages | | |
| | | |
| List Overprogrammed <u>UMAR</u> Backlog packages less than \$100,000 | | |
| Total Overprogrammed <u>UMAR</u> Backlog Packages | | |
| Total Scheduled <u>UMAR</u>Backlog | | |

ILLUSTRATION C-2.5a
MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, General, FY (PY)

I. Navigation

Channels and Harbors. The program estimate of \$ _____ provides for essential operation and maintenance work on ~~xx~~ channel and harbor projects named in the list which follows. The work to be accomplished under this activity consists of operating and maintaining the coastal navigation channels, harbors and anchorages by means of dredging, constructing bulkheads and spoil disposal areas, snagging, and repairing channel stabilization works, navigation structures, and harbor jetties, all as authorized in the laws pertaining to river and harbor projects.

| <u>ESTIMATED OBLIGATIONS</u> | | | |
|--|--|--|---|
| <u>(\$)</u> | | | |
| <u>State/Project Name</u> | <u>FY (PY-1)</u> <u>TOTAL</u> | <u>FY (PY)</u> <u>TOTAL</u> | <u>Reason for Change and Major Maintenance Items</u> |
| | (Operations) | (Operations) | 1. Reasons for change in Operations from PY-1 to PY (10%+/-) |
| | (Maintenance) | (Maintenance) | 2. Major Maintenance Items Programmed in PY (Threshold \$500,000) |
| Texas | | | |
| Project A | 0 | 730,000 | |
| | (0) | (0) | 1. None |
| | (0) | (730,000) | 2. Dredge navigation Channel |
| Project B | 1,490,000 | 2,145,000 | |
| | (0) | (225,000) | 1. Perform surveys and monitoring activities. |
| | (1,490,000) | (1,920,000) | 2. Perform erosion protection on Disposal Area #3. |
| Oklahoma (Although not under <i>Navigation</i> category, following is a sample for multiple purpose.) | | | |
| Project C | 1,387,000 | 2,404,000 | |
| | (956,000) | (1,016,000) | 1. None |
| | (431,000) | (1,388,000) | 2. Replace voltage regulators and excitation equipment in PY. |

NOTE: For easier preparation of this form, use "Table" format on MS Word 97 or similar.

ILLUSTRATION C-2.5b
XXXXXXXXXXXX MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, General, FY __ (PY) __

2. Flood Control

a. **Reservoirs: Scheduling Reservoir Operations.** The \$ __ requested in FY __ (PY) __ supports preparation, review and updating of water control manuals, real-time data collection to monitor hydrologic conditions, and the issuance of gate regulation instructions as necessary at __ non-Corps dam and reservoir projects at which the Corps is responsible for flood control or navigation.

| <u>ESTIMATED OBLIGATIONS</u> | | | |
|-------------------------------------|--|--|---------------------------------|
| <u>(\$)</u> | | | |
| <u>State/Project Name</u> | <u>FY (PY-1)</u> <u>TOTAL</u> | <u>FY (PY)</u> <u>TOTAL</u> | <u>Reason for Change</u> |
| Arkansas | 30,000 | 32,000 | |
| Oklahoma | 22,000 | 32,000 | |
| Texas | 81,000 | 82,000 | |

b. **Channel Improvement: Inspection of Completed Works.** The \$ __ requested in FY __ (PY) __ supports inspections at flood control projects constructed by the Corps and operated and maintained by non-Federal interests. The inspections are conducted to determine the extent of compliance with legal standards and to advise local interests, as necessary, of corrective measures required to ensure that project structures and facilities will continue to safely provide flood protection benefits. These projects consist of features such as channels, levees, flood walls, drainage structures and pumping plants.

| | | |
|-----------------|--------|--------|
| Arkansas | 70,000 | 62,000 |
| Oklahoma | 32,000 | 32,000 |
| Texas | 81,000 | 82,000 |

NOTE: For easier preparation of this form, use "Table" format on MS Word 97 or similar.

ILLUSTRATION C-2.5c
XXXXXXXXXXXX MAJOR SUBORDINATE COMMAND
JUSTIFICATION OF ESTIMATE

APPROPRIATION TITLE: Operation and Maintenance, General, FY (PY)

4. Protection of Navigation

a. **Project Condition Surveys.** The \$___ requested in FY (PY) supports hydrographic surveys, inspections, and studies to determine the condition of navigation channels that do not have any other maintenance work included in the program request and disseminate the information to users of the projects. For the projects that do not require maintenance, surveys are performed at many of them in order to determine the degree of sedimentation so that users can be advised of channel conditions and future maintenance can be scheduled.

| <u>ESTIMATED OBLIGATIONS</u> | | | |
|-------------------------------------|--|--|---------------------------------|
| <u>(\$)</u> | | | |
| <u>State/Project Name</u> | <u>FY (PY-1)</u> <u>TOTAL</u> | <u>FY (PY)</u> <u>TOTAL</u> | <u>Reason for Change</u> |
| Michigan | 0 | 0 | |
| North Dakota | 5,000 | 6,000 | |
| New York | 30,000 | 33,000 | |

b. **Surveillance of Northern Boundary Waters.** The \$___ requested in FY (PY) supports meeting US obligations under provisions of boundary water treaties and other international agreements. Data collection includes current velocity measurements, presence and intensity of ice, water levels, land use patterns and estimating potential damages caused by extreme levels. This information can be used to enhance water level forecasts, develop crises response plans, and provide advance warning to area residents and waterway users of impending floods or ice jams.

| | | |
|---------------------|--------|--------|
| Michigan | 70,000 | 62,000 |
| North Dakota | 32,000 | 32,000 |
| New York | 81,000 | 82,000 |

NOTE: For easier preparation of this form, use "Table" format on MS Word 97 or similar.

OPERATION AND MAINTENANCE, GENERAL
NATIONAL EMERGENCY PREPAREDNESS PROGRAM (NEPP)

C-3.1. **General.** Through the use of the Evaluation and Corrective Action Program and other similar assessment tools, every effort should be made to ensure that your current state of organizational readiness is maintained in a manner which assures that your capability to support the nation in a national emergency is sustained. *National Emergency Preparedness Program (NEPP)* activities to be programmed are Local Preparedness (Continuity of Operations) 903-510, National Preparedness (primarily the development of Catastrophic Disaster Response Plans (CDRP)) 903-520, Facilities (903-530), and the Emergency Water Program (903-540), Continuity of Government (903-550), and NEPP Training/Exercises (903-560). Overall program priorities are:

- Preparedness Plans and SOPs (including CDRP's, COOP, COG)
- Program Management
- Exercises and Training
- Emergency Facilities (EOC)

Field organizations should not anticipate any significant mid-year fiscal relief from HQUSACE ~~(CECW-OE)~~(CECS-OP) for personnel or other program costs. MSC's should critically review subordinate district requirements to ensure consistency with overall priorities. If necessary, MSC's should propose reprogramming within the Division to accomplish highest priority efforts.

C-3.2. **General Program.**

a. **National Emergency Preparedness Program (Code 903-500).** This feature series includes those civil administrative, supervisory and procurement activities ~~in each division or district at each USACE activity~~ that are concerned solely with developing and maintaining a high state of preparedness for national emergency operations of the Corps of Engineers Civil Works functions.

b. **Local Preparedness-Continuity of Operations (Code 903-510).** This feature series applies to USACE oriented Continuity of Operations (COOP) preparedness planning. Activities in this category include those associated with the identification of specific USACE reconstitution missions, the analysis of required resources, the establishment of organizational and operational procedures, the preparation and publication of contingency plans, and the participation in exercises related to ~~the USACE~~ emergency relocation and reconstitution ~~missions of a division or district~~ as a result of either a natural or manmade disaster. Planning items should include but are not limited to: command succession, identification of alternate relocation/alternate headquarters site(s) (NEPP does not support funding for the acquisition of space), development of appropriate crisis relocation team(s), identification and storage of duplicate emergency files, and other considerations necessary to ensure minimum downtime of the affected organization. This also includes, in conjunction with other appropriate offices, the development of a framework for the individual plans that address the continued operation of Corps civil works projects.

c. **National Preparedness Planning (Code 903-520).** This feature series consists of activities and services which provide the Corps with the capability to ensure that MSC's and districts can provide support for the nation during national emergency events other than reconstitution. Included are those activities associated with the identification of the USACE national emergency missions, the establishment of organizational and operational procedures, the preparation and publication of catastrophic disaster response plans. Also included is the necessary planning coordination with related Federal, state, and local entities. Efforts include, but are not

limited to, the following:

- (1) Technological and other manmade disasters.
- (2) Anti and Counter ~~Tism~~ Terrorism.
- (3) Military Support to Civil Authorities, including the development of catastrophic disaster response plans.
- (4) Command, Control, Communications and Computers (C4).
- (5) Individual Mobilization Augmentee (IMA) Program Management. IMA management associated solely with disaster response and the development and maintenance of disaster related TDAs.
- (6) Port Readiness. Activities associated with maintenance of navigable waterways.
- (7) Resource Management and Administration. Requirements associated with programming, personnel management, and reports.

d. **FacilitiesEmergency Operations Center Support (Code 903-530)**. This feature consists of the exclusive use of space which supports Emergency Operations Centers (EOCs) . Included are those activities associated with the operation and maintenance in support of the facilities (rent, supplies, equipment, etc.). This class does not include any labor charges. The EOC will be funded on a joint basis between NEPP and other readiness programs.

e. **Emergency Water Program (Code 903-540)**. ~~Execute requirements of~~ This applies to requirements of Executive Order (E.O.) 12656 (HQUSACE (CECW-OE) only). (For Headquarters, U.S. Army Corps of Engineers (HQUSACE only).

f. **Continuity of Government (Code 903-550)**. Defined as plans to support Federal Emergency Management Agency (FEMA) and other Federal, state and local agencies in their efforts to reestablish civil authority lost as a result of natural or manmade technological-disaster or an attack on the United States ~~(HQUSACE (CECW-OE) only).~~ (HQUSACE and only as directed).

g. **Catastrophic Disaster Training and Exercises (Code 903-560)**. The development of and participation in catastrophic disaster exercises and training in the inter- and intra-agency arena. The development and participation in evaluation and corrective action programs related to catastrophic disasters will be funded under this class.

C-3.3. **Cost Estimates.** ~~Based on PY-1 cost projections, inflation factors, and assumptions used in this EC, division headquarters National Emergency Preparedness activities previously charged to the General Expense account (GE) will be programed under Operation and Maintenance, General (NEPP).~~ Estimates should include overhead costs for both PY-1, PY, and PY+n. PY-1 figures entered in Illustrations C-3.1 and C-3.2 should reflect any recommended increases from the PY-1 program request.

C-3.4. **Recommended Funding Level.** PY-1 and PY funding levels for all series other than Code 903-520 are expected to be no higher than PY-2 levels, (Code 903-520 funding will be based upon specific scenario based CDRP assignments). MSC's will establish priorities for each major level of effort and identify those areas which cause recommended division/district programs to exceed funding levels defined. Requirements above PY-2 allocations should be specifically addressed. *Salary costs for MSC Emergency Management*

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Chiefs are to be funded under the General Expenses appropriation, not Operation and Maintenance, General, or Flood Control and Coastal Emergencies appropriation accounts.

C-3.5. **Submission Requirements.** HQUSACE will ~~furnish~~ provide ~~formatted disks~~ electronic versions for Illustrations to MSC's. MSC's will consolidate district's submissions and forward ~~completed disks and~~ hard copies to the ~~Readiness Branch, CECE-OE-P,~~ Office of Security, Plans and Operations (SPO), CECS-OP, not later than 15 June. Although detailed breakdowns of MSC and district programs for PY + n years are not required, districts will provide estimates to division headquarters to justify total programs for PY + n. Questions regarding NEPP program management submissions can be addressed to Chief, ~~CECWS-OEP,~~ telephone: (202) 761-02453.

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ILLUSTRATION C-3.1
**NATIONAL EMERGENCY PREPAREDNESS PROGRAM
FOUR-YEAR PROGRAM**
(Dollars in thousands)

APPROPRIATION TITLE: Operation and Maintenance, General. FY _____
(PY)

DIVISION OFFICE OR DISTRICT: _____.
(SYMBOL)

Date _____
(Date Prepared)

| Class | Title | PY-1 | PY | PY+1 | PY+2 | PY+3 | PY+4 |
|-------|--|------|----|------|------|------|------|
| 510 | Local Preparedness <u>Continuity of Operations</u> | | | | | | |
| 520 | National Preparedness facilities <u>Planning</u> | | | | | | |
| 530 | Facilities <u>Emergency Operations Center Support</u> | | | | | | |
| 560 | NEPP Training/Exercises <u>Catastrophic Disaster Training/Exercises</u> | | | | | | |
| | Totals | | | | | | |

[FOR ILLUSTRATION PURPOSES ONLY -- TYPE AS REQUIRED]

ILLUSTRATION C-3.2

DIVISION
NATIONAL EMERGENCY PREPAREDNESS PROGRAM
RECOMMENDED PROGRAM SUPPORTINF DATA
(Dollars in thousands)

APPROPRIATION TITLE: Operation and Maintenance, General. FY _____
(PY)

DIVISION OFFICE OR DISTRICT: _____.
(Symbol)

Date _____
(Date Prepared)

| ACTIVITY | MAJOR AREA OF EFFORT | PRIORITY | PY-1 | PY | PY+2 |
|----------|--|----------|------|----|------|
| 510 | Local Preparedness <u>Continuity of Operations</u> | | | | |
| 520 | National Preparedness facilities <u>Planning</u> | | | | |
| 530 | Facilities <u>Emergency Operations</u> Center Support | | | | |
| 560 | NEPP Training/Exercises <u>Catastrophic</u> <u>Disaster Training/Exercises</u> | | | | |
| | Totals | | | | |

[FOR ILLUSTRATION PURPOSES ONLY -- TYPE AS REQUIRED]

ALL PREVIOUSLY PUBLISHED ILLUSTRATIONS FOR THIS CHAPTER (C-3) HAVE BEEN DELETED

**SUBAPPENDIX C-4
OPERATION AND MAINTENANCE, GENERAL
RECREATION FACILITIES AT COMPLETED PROJECTS**

C-4.1. General.

- a. The construction of new recreation facilities at completed projects is limited to a 50 percent Federal - 50 percent non-Federal cost basis consistent with the Administration's policy of encouraging states and their political subdivisions to share in the development of public recreation facilities. The non-Federal sponsor is required to enter into a cost-sharing agreement with the Corps prior to construction and agree to assume operation and maintenance (O&M) responsibilities for the completed recreation area.
- b. The only exception to the Administration's cost-sharing policy is for upgrading of existing facilities required to meet urgent sanitation needs in accordance with the provisions of applicable local, state and Federal laws. In this instance, the Corps may develop these sanitation facilities at 100 percent Federal cost. This policy is consistent with the requirements of Executive Order 11514 and 12088, and Public Law 92-500.
- c. Construction, renovation and upgrade of recreation facilities may also be accomplished in accordance with paragraph C-2.16, Special Recreation Use Fees (SRUF).

C-4.2. Funding Level . The following items may be included in the program request in the proper levels:

- a. Ongoing cost-sharing developments, which have been previously approved and require reimbursement by local sponsor upon completion, should be given priority in non-deferrable funding level for early completion. This will help to expedite repayment to the Federal Government of non-Federal share of funds already spent for the project (WCC 61513).
- b. New start work needed for upgrading sanitation facilities (code 711) only if the upgrading will take place in areas likely to remain open under stringent program and manpower constraints and the sanitary deficiencies would require closing the areas, reducing periods of operation, or reducing levels of use if not corrected (WCC s 61511, 61512, and 61560).
- c. Relocation, refurbishment or modernization of sanitary facilities located in consolidated or repaired areas in order to sufficiently handle the changed use patterns (WCC s 61511, 61512, and 61513).
- d. Reimbursement of local cost-sharing sponsors who have an ASA(CW) approved agreement prior to the submittal dates specified in this circular (WCC 61513).
- e. New starts for cost shared recreation facilities (code 713) may be proposed only if local sponsors indicate in writing their intent to provide 50 percent of the total cost of proposed recreational facilities and any separable recreation lands involved) and operate and maintain the area after completion.
- f. Requests for funds for engineering and design activities will be limited to the requirement for activities described in paragraphs C-4.2.a through d.

C-4.3. Supporting Data

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a. Funding arguments for new recreational facilities must provide the information displayed in Illustration C-4.1. Use of the Illustration format is not mandatory.

b. Requests for funds for any new start cost shared work must be accompanied by a letter of intent from the local sponsor or by complete reference to any existing HQUSACE (CECW-O)/ASA(CW) approved cost-sharing agreements.

ILLUSTRATION C-4.1
NEW RECREATION FACILITIES AT COMPLETED PROJECTS
SUPPLEMENTAL INFORMATION
(Dollars in Thousands)

COST SHARING (CODE 713 ITEMS) TOTAL:

FACILITIES TO BE PROVIDED IN THE PROGRAM YEAR

1. Area Name:
 Description of Work:
 Total Cost:
 Allocations To Date:
 Program Year (PY) Estimate:
 Balance to Complete

2. Area Name:
 Description of Work:
 Total Cost:
 Allocations To Date:
 Program Year (PY) Estimate:
 Balance to Complete

Etc.

STATUS OF LOCAL COOPERATION FOR COST SHARING PROPOSED IN PY

1. Area Name
 Status:

2. Area Name
 Status:

Etc.

[FOR ILLUSTRATION PURPOSES ONLY -- TYPE AS NEEDED]

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FLOOD CONTROL AND COASTAL EMERGENCIES
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APPENDIX D
FLOOD CONTROL AND COASTAL EMERGENCIES
(RCS CECW-O-68)

D-1.1. **Applicability.** This appendix includes all activities in the Flood Control and Coastal Emergencies (FCCE) appropriation title (96X3125) -- Disaster Preparedness Program/Emergency Response.

D-1.2. **Activities Included:**

| Activity Title | Category Class |
|---|----------------|
| Disaster Preparedness Program | 100 |
| All Hazards Planning Activities | 110 |
| All Hazards Training and Exercise | 120 |
| Facilities | 130 |
| National Regional Centers for Expertise | 140 |

D-1.3. **Program Guidance.**

a. Allocation of resources for Category/Class 110, 130, and 140 have been determined and issued by HQUSACE. For Category/Class 110 and 130, Division Commanders are required to provide specific funding allocations for the division office, regions, if appropriate, and each district by Category/Class to CECW-OE so that work allowance letters and FADs can be issued in a timely manner. Specific definitions for these funding Category/Classes are found in ER 11-1-320, dated 1 Oct 98, Chapter 3-2. Divisions are required to submit prepared Exercise & Training initiatives for consideration by this Headquarters. If approved, funds will be issued under Category/Class 120. High visibility items will be programmed and processed by the Philadelphia District in addition to Category/Class 130 otherwise provided.

b. Funding Levels. The recommended funding level for the All Hazard Training and Exercise Program should reflect major exercises planned on a regional, division, or district-wide basis. It should also include funding needed to train outside the functional area. Particular attention should be given to the funding of non-emergency management personnel involved in training or exercises for which Category/Class 120 is appropriate (see Chapter 3 of ER 11-1-320, 1 Oct 98. This should provide the minimum training and exercise participation required in accordance with Command Guidance based on the Readiness 2000 initiative.

c. Headquarters, USACE, will issue funding allocations at the division level by 1 September for Category/Class 110 and 130 combined, each Fiscal Year (FY).

D-1.4. **Narrative and Supporting Data.**

a. **Hard Copy.**

(1) For each activity in the Program year and future years, there should be a recommended level for Category/Class 120. This information should be displayed in the format of Illustration D-1.

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(2) Narrative descriptions and information supporting funding requirements for training and exercises by major command and district will be provided for PY-1, PY and future years, in the format provided in Illustration D-2. Explanations and justification of specific new requirements and cost increases exceeding 5 percent from the previous fiscal year must be provided in order for full funding to be considered.

(3) Funding allocations for Category/Class 110 and 130 must be listed for division offices, regions (if appropriate), and each district in the format provided in Illustration D-1.3.

b. **Submission Requirements.** Division submissions must be forwarded to the Civil Emergency Management Branch, CECW-OE, no later than 1 July 2000.

ILLUSTRATION D-1.1
FLOOD CONTROL & COASTAL EMERGENCIES (FCCE)
PROGRAM REQUEST
(\$000)

DIVISION/DISTRICT:_____

| ACTIVITY CATEGORY/ CLASS | FY (PY-1) WORK ALLOW. | FY (PY) PROPOSED ALLOW. | FY (PY+1) REQUEST MINIMUM | FUTURE FY REQUIREMENTS FY (PY+2) FY (PY+3) FY (PY+4) | | |
|--------------------------------|-----------------------------|-------------------------------|---------------------------------|---|--|--|
|--------------------------------|-----------------------------|-------------------------------|---------------------------------|---|--|--|

120 All Hazards Training & Exercises

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ILLUSTRATION D-1.2
FLOOD CONTROL & COASTAL EMERGENCIES
DISASTER PREPAREDNESS PROGRAM
SUPPORTING DATA

Division Office or District: _____

| Activity Category/ Class | Major Area of Effort | Funding requirements (\$000) | | | | | | Remarks |
|--------------------------------|-------------------------|------------------------------|----|------|------|------|------|---------|
| | | PY-1 | PY | PY+1 | PY+2 | PY+3 | PY+4 | |
| 120 | Training Exercises | | | | | | | |

ILLUSTRATION D-1.3
FLOOD CONTROL & COASTAL EMERGENCIES
FUNDING ALLOCATIONS

| ORGANIZATION NAME | CATEGORY/CLASS 110 | CATEGORY/CLASS 130 |
|-------------------|--------------------|--------------------|
| Division | | |
| Region | | |
| Region | | |
| District | | |
| District | | |
| District | | |
| District | | |
| District | | |
| District | | |
| District | | |
| | | |
| TOTALS | | |

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SUBAPPENDIX E-1
GENERAL EXPENSES
APPLICABILITY

E-1.1. **Appropriation Title.** General Expenses 96X3124

E-1-2. **Purpose.** This appendix provides guidance for development of the General Expenses (GE) Program for Headquarters, U. S. Army Corps of Engineers (HQUSACE), Major Subordinate Commands (MSCs), and other support activities.

E-1.3. **Activities Included.**

| <u>Activity Title</u> | <u>Appn</u> | <u>Cat/Class/ Subclass</u> | Guidance Located in Subappendix |
|--|-------------|--------------------------------|---------------------------------------|
| Headquarters, US Army Corps of Engineers | 905 | 800 | E-2 |
| Major Subordinate Commands | 905 | 800 | E-2 |
| Coastal Engineering Research Board | 905 | 800 | E-2 |
| Humphreys Engineer Center Support Activity | 905 | 800 | E-2 |
| Water Resources Support Center | 905 | 800 | E-2 |
| USACE Finance Center | 905 | 800 | E-2 |

SUBAPPENDIX E-2
GENERAL EXPENSES
PROGRAM GUIDANCE

E-2.1. Program Objective. The objective of the General Expenses (GE) Program is to provide the minimum acceptable level of definitive policy guidance, executive direction and management, and coordination in execution of the Civil Works Program.

a. **Program.** The General Expenses Program will be developed to provide for accomplishment of the program objective by Headquarters, U. S. Army Corps of Engineers (HQUSACE), Major Subordinate Commands (MSCs), and other support activities. The program will reflect ongoing restructuring initiatives and comply with the Chief of Engineers' 10 Jul 1997 memo to all division commanders, subject: Division GE/OMA Resources, FY 98-03, and the USACE FY ~~1999~~2000 Consolidated Command Guidance (CCG), ~~dated July 1998~~ last updated on 7 December, 1999, as well as any initiatives approved prior to submission of the program.

b. **Labor Resources and Funding.**

(1) **Labor Resources.** Estimates of labor resources for the PY-1 and PY will reflect the most efficient utilization of personnel necessary to achieve the program objective. MSCs will be staffed at levels authorized by the Chief of Engineers' memo and the FY ~~9900~~ CCG cited above, or subsequent guidance if appropriate. Executive direction and management workyears are constrained by GE Program funding; Congressional appropriations language, such as the limitations on the use of other Title I funds; and Administration initiatives to reduce the size of "headquarters" activities and the overall federal workforce.

(2) **Labor Funding.** Funding requests for the PY will include base labor costs as of 1 October of PY-2, plus projected inflation based on Class 1 rates shown in Table 1 of the main part of this EC. These rates reflect national and locality pay raises, plus agency contributions for employee benefits. In preparing estimates for overtime, analyze the use of overtime to ensure that it is prudent and efficient; explore all reasonable alternatives to overtime, such as improved scheduling; and assure that adequate approval, monitoring, and audit procedures are in place to avoid abuses. Total labor funding requirements should be adjusted to include incentive awards as well as projected hire lag. Costs for formerly ceiling exempt employees in the Student Educational Employment Program (formerly Summer Employment Youth and Youth Opportunity Back to School programs), and costs for uniformed GE Program-funded military officers will be included in estimating total personnel compensation costs.

c. **Non-labor Resources and Funding.** Estimates of non-labor resources for the PY-1 and PY will cover non-labor features listed in Illustration E-2.1. Use Object Class Definitions contained in paragraph ~~35.5~~ 83.7 of OMB Circular A-11 dated July 1998~~9~~. They can be accessed and downloaded from the following internet site:

<http://www.whitehouse.gov/WH/EOP/OMB/html/circulars/a011/98a-11.pdf>.

<http://www.whitehouse.gov/OMB/circulars/a11/s83.pdf>.

Funding requests will reflect inflation based on Class 2 rates shown in Table 1 of the Main Part of this EC. If your PY request includes inflation greater than that based on the PY Class 2 rate, you must explain why in your justification statement. Cost growth above Class 2 rates will not be considered without the explanation. All funding entries will be **rounded to the nearest thousand dollars**.

E-2.2. Supporting Data. The PY GE Program request will comprise a transmittal letter, program justification statement, and two justification summaries.

a. **Transmittal Letter.** The program request will be transmitted by a letter signed by the MSC Commander/Director of Separate Office/Activity, or authorized delegate. This transmittal letter will confirm compliance with this guidance and the accuracy and adequacy of the request.

b. **Program Justification Statement.** The program justification statement will explain any extraordinary requirements above inflation, and the impacts of not funding them. If you are planning additional restructuring, consolidation or downsizing initiatives or collocation with another Corps activity, include justification showing estimated costs and savings, and your funding timetable, with anticipated PY costs broken out between civil and military functions. If your request exceeds your latest FTE guidance for the PY, you must justify the positions individually and explain why these requirements cannot be accommodated within the current guidance. The name, office symbol, and telephone number of the preparer will be provided in the narrative or transmittal letter.

c. **Funding Justification Summary (Illustration E-2.1).** This is a summary of GE Program funding. The PY-2 funding total equals the amount of the work allowance actually received in the PY-2, plus prior year carryover, including any adjustments up to the time of your program submission. Data will be broken down by feature/subfeature, as shown. The sum of amounts shown under object classes 11 and 12 equals the salaries and benefits for the General Expenses Program staff reflected under Title III of Illustration E-2.2.

d. **Labor Justification Summary-- (Illustration E-2.2).** This is a summary of GE Program labor, expressed in FTE workyears and full-time permanent (FTP) positions. Item III equals the sum of Items I and II, while Item IV reflects all non-GE Program labor, broken out by civil and military functions. These categories are further broken out by direct-funded (funded through appropriations to the Corps) and reimbursable (funded by other agencies, e. g., Department of Energy, Air Force, etc.). Item V is the sum of Items III and IV, which equals the total labor assigned to the activity.

E-2.3. **Submission Requirements.** Supporting data, described above, will be submitted in hard copy to the Director of Resource Management (CERM-ZA), WASH DC 20314-1000, and by electronic mail to, CERM-B by the date shown in the schedule of the Main Part of the EC. An Excel workbook, with separate worksheets for the two illustrations will be provided to you via e-mail and **must** be used in order to assure consistency in the program submissions. If there are problems complying with these submission requirements, contact CERM-B by e-mail or phone at (202) 761-1104.

ILLUSTRATION E-2.1
GENERAL EXPENSES
FUNDING JUSTIFICATION SUMMARY
(\$000)

| | | | | |
|---------------------------|---|--------------------------|------------------------|-----------------------------|
| MSC/Other Activity: _____ | | Date: _____ | | |
| Feature/ Subfeature | Title | Work Allowance PY-2 | Assumed Budget PY-1 | Budget Request PY |
| 11 01 | FTP Civilian Pay | _____ | _____ | _____ |
| 11 03 | Other than FTP Pay Cash Awards) | _____ | _____ | _____ 11 05 Other Pay (Ov |
| 11 07 | Military Officer Pay | _____ | _____ | _____ 12 01 Civilian Benefi |
| 21 01 | Commercial Air | _____ | _____ | _____ 21 02 Division Airpla |
| | | Subtotal OC 21/22 | | |
| 23 01 | GSA Rent | _____ | _____ | _____ 23 02 Other Rent |
| 24 00 | Printing & Reproduction | _____ | _____ | _____ |
| 25 01 | Advisory & Assist. Svcs from other Gov't | _____ | _____ | 25 02 Training, Othe |
| 25 04 | O&M of Facilities Costs | _____ | _____ | _____ 25 05 Admin. Suppo |
| 26 00 | Supplies & Materials | _____ | _____ | _____ 31 00 Equipment |

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ILLUSTRATION E-2.2
GENERAL EXPENSES
LABOR JUSTIFICATION SUMMARY

MSC/Other Activity: _____ Date: _____

| | ACTUAL PY-2 | | | ESTIMATE PY-1 | | | ESTIMATE PY | | |
|---|-------------------------------|-------------------------------|--------------------------------------|-------------------------------|-------------------------------|--------------------------------------|-------------------------------|-------------------------------|--------------------------------------|
| <u>Title</u> | <u>FTE Work Years</u> | <u>Total FTP Posn</u> | <u>Salaries and Benefits</u> | <u>FTE Work Years</u> | <u>Total FTP Posn</u> | <u>Salaries and Benefits</u> | <u>FTE Work Years</u> | <u>Total FTP Posn</u> | <u>Salaries and Benefits</u> |
| I. GE-funded civilians | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| II. GE-funded military | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| III. Total GE-funded staff | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| IV. Remaining Staff | | | | | | | | | |
| a. Military functions: | | | | | | | | | |
| Direct-funded | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| Reimbursable | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| b. Civil functions: | | | | | | | | | |
| Direct-funded | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| Reimbursable | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |
| V. TOTAL MSC/SFOA STAFFING (Sum of III, IVa. & IVb.) | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ | _____ |

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(RCS-CECW-B-13)

F-1.1. **Applicability.** This appendix includes all activities under the Regulatory Program appropriation title (96X3126).

F-1.2. **Activities Included.**

| Activity Title | Category |
|---------------------------------|----------|
| Permit Evaluation | 100 |
| Enforcement and Resolution | 200 |
| Studies | 300 |
| Other Regulations | 400 |
| Environmental Impact Statements | 500 |
| Administrative Appeals | 600 |

F-1.3. **Program Guidance.** Resources required by the division should be programmed under General Expenses. However, one Level 1 regulatory package should be submitted to cover costs for a single grade 13 appeal reviewer at division. It will not be submitted under a selected district but as a division package. Data will be transmitted electronically following guidance contained in the Civil Works Operation and Maintenance Automated Budget System Manual. Procedures for preparing input, for generating reports, and for updating data are also included in that manual. All packages must be ranked by division regulatory managers. Rankings of Level 2 packages are especially important. MSC's must insure that level 2 submissions reflect uniform and consistent levels of work effort among the districts and that submissions at Level 2 accurately reflect the required level of service defined in Level 2.

F-1.4. **Types of Activities (projects) and Work Functions.** Packages under the regulatory appropriation should be submitted for up to six activities (projects). Packages will be further identified according to one of three work functions. The five regulatory activities are Permit Evaluation-category 100, Enforcement 200, Studies-300, Other navigation regulations-400, Environmental Impact Statements (EISs)-500, and Administrative Appeals-600. The work function code will now be used to identify these activity (project) packages as either 15.1 (Branch Labor/Operational Costs), 15.2 (Contracts, Major purchases, Miscellaneous) and 15.3 (Support by others). This will create packages that will be identified by both activity (project) and work function. (For programming purposes these regulatory activities are always treated as projects).

F-1.5. **Activities (Project) Categories.** The regulatory program is divided into six activity categories:

a. **Permit Evaluation (100).** Includes all costs related to the review and evaluation of permit applications under Section 9, 10, 103 and 404 as well as environmental assessments supporting this review. Cultural resource investigations, jurisdiction determinations, public hearings, and other activities related to application evaluation are included as are general permit development and consideration of activities under general permits. Cost for support items such as automated permit tracking systems or other computer or micrographic support and equipment purchases should be identified in description/argument.

b. **Enforcement (200).** Includes all costs related to compliance inspections, administrative civil penalties for compliance, ground and aerial surveillance, unauthorized activities and jurisdiction determinations related to enforcement actions, and follow-up on violations. Nationally, about 20 to 25% of district resources is allocated for enforcement; except in austere years, when less is allocated.

c. **Studies (300).** Includes all costs related to studies such as jurisdiction studies (actual jurisdiction determinations are included under permit evaluation), mapping, wetland studies, shoreline inventories, and collection of data for environmental data bases. No packages for studies may be included where a specific study is not identified and described.

d. **Other Regulations (400).** Includes all costs related to administration of the miscellaneous regulations such as danger zones and restricted areas, plus review of Section 402 applications.

e. **Environmental Impact Statements (EISs) (500).** Includes all costs required for preparation of EISs when Corps is lead or cooperating agency. Costs for all new project-specific EISs will be submitted as EIS packages under the Branch Labor work function category since review will occur in the regulatory branch. No costs for project-specific EISs will be submitted under Support by Others unless the EIS review was initiated prior to FY98 and the review will continue into FY 2000. Some costs for programmatic EISs may require support from other offices and may be submitted under the Support by Others work function category. All EISs must be identified as either ongoing or projected and the percent probability of the EIS being required should be indicated. Costs associated with the review of non-Corps EISs are included under Permit Evaluation, unless the review is of an in-depth nature requiring more than \$2,000. No packages for EIS may be submitted where the EIS is not specifically identified.

f. **Administrative Appeals (600).** Costs to support one grade 13 appeals reviewer for regulatory decisions, including travel and related costs at division offices and jurisdiction determination appeals costs at districts.

F-1.6. **Work Function Categories.**

a. **Branch Labor/Operational Costs (15.1).** Costs required to pay salaries and benefits of branch personnel (except contracted personnel) and normal office operational costs to support these personnel. Included are: overhead costs not separately charged as under paragraph c below, rent, utilities, communications, ADP, travel, training, reproduction, supplies, etc. New, major purchase or contracting requirements for office services not currently in use (or expansion of such contracts), and over \$25,000 should be shown under 15.2. Renewal of existing contracts, for office services ONLY, need not be listed separately under 15.2. Other, mission support type contracts, must be listed under 15.2, whether they are new or renewal of existing contracts. Generally, essential labor and operational costs will be submitted in levels 1 and 2; enhancement levels will be submitted under level 3. Under output measures, the number of FTEs supported by the funds in each 15.1 package will be required (see below). Some packages may provide enhancement levels of 15.1 office services without actually supporting FTEs; a zero may be entered for these packages. Comparisons will be made with past cost per FTE submissions. Each 15.1 package submitted will also be identified according to the five regulatory activities. Note that ADP/RAMS costs should be submitted as one or more separate packages.

b. **Contracts, Major Purchases, Miscellaneous (15.2).** All contracts, including financial agreement with other agencies, in support of the regulatory mission (as opposed to normal office support contracts) should be shown here. ~~Only expansion of office services by new~~ Only expansion of office service contracts over \$25,000 need be shown here as defined in the previous paragraph for 15.1. Examples of work to be shown as 15.2 are: aerial photography; inspection contracts; cost sharing agreements with

states or other Federal agencies; contractual personnel; personnel from other agencies paid with regulatory funds; data gathering contracts; major purchases of new ADP, micrographics or other office systems, including Regulatory Automated Management System (RAMS), or major equipment purchases. Wherever possible, these packages can be listed under a single activity rather than splitting between two or more activities, (e. g., \$50,000 for aerial photos could be shown as a single enforcement package if they will be used more for enforcement than for permit evaluation). Package size limitations in levels 2 and 3 may result in 15.2 packages having to be divided into two or more packages regardless. Note that ADP/RAMS costs should be submitted as one or more separate packages.

c. **Support by Others (15.3).** Costs for support by those organizations that direct charge to the regulatory program for their assistance on an "as needed" basis. Packages will need to be submitted for any of the five activities that are appropriate. Engineering, planning, counsel support, and IM each should be submitted as a separate package. Support work may also have to be divided between levels 1, 2 and 3.

F-1.7. **Funding Levels.** The District regulatory program requirements should be submitted in the following levels which will be tied to level 1:

a. **Level 1.** Packages should be submitted with total level 1 requirements not exceeding total available district funds as of 31 Dec 1997 (FY 97 unobligated carryover + FY 98 work allowances # 1& 2). ~~NOTE: Carryover funds for EIS's, special studies in SPN and RAMS in NAO should not be included in determining the level 1 ceiling FY 1999 district obligations.~~ Packages may be submitted for all categories, ~~except including administrative appeals for jurisdiction determinations which should be submitted in level 2. (one GS-13 appeals reviewer must be included for jurisdiction determinations)~~ Level 1 should include a balanced, fully operational, albeit reduced, program. This ceiling MUST be used. It is expected that some critical work will have to be submitted in Level 2.

b. **Level 2.** The total of all cumulative packages (including level 1) should allow the district to provide (but not exceed) the following levels of service and performance: (1) complete 70% of Individual permits within 120 days, (2) maintain current (mid 2000) level of service for "all actions," (3) Site inspect 90% of standard individual permits, (4) Site inspect 30% of all permit actions that result in written authorization, (5) provide a level of enforcement that is approximately 20% of the total level 1+2 cost. ~~NOTE: Districts which are currently exceeding any of these levels of service may have to put some dollars in level 3 to maintain current performance since only funds required to achieve, not exceed, the service outlined above are allowed in Level 2. For example, a district currently completing 80% of Individual permits in 120 days or spending 25% of their current budget on enforcement would be expected to show some funds for their current levels of effort in these areas in level 3. not exceeding 110% of total level 1 costs~~ Funding arguments should indicate differences or similarities with current (PY-2 or PY-1) levels of effort. Packages of \$100,000 or less are preferred, but not required especially in large districts (those with FY 1999 obligations near \$4 million) ~~or where large permit evaluation or enforcement packages are required to meet the performance levels above. If critical work cannot be accomplished within the ceiling, packages should be submitted in level 3 and appropriately described. The level 2 ceiling may not be exceeded and will NOT be raised by headquarters if requested by a district.~~ Packages for new FTEs (not authorized in mid FY 2000-1999) should be identified as new FTEs in the package description. Only packages for ongoing EIS's may be submitted in level 2. One packages for Jurisdiction Determination appeals may be submitted as the LAST PACKAGE in level 2 but it should not exceed 3% of total level 1+2 costs. Packages for studies in level 2 may be submitted only if they are essential to meet the performance requirements above or are otherwise mandated by outside or higher authority. Each district will submit one package in level 2 for a grade 13 administrative appeals reviewer.

c. **Level 3.** Additional packages may be submitted for level 3. There is no dollar limit on total level 3 funding requests. Costs for projected EIS's should be submitted. Packages for high priority SAMPS or other watershed management plans are encouraged. Note that packages for current labor should be submitted as highest priority work in level 3 in cases where a district may be currently exceeding the performance requirements in level 2 and thus cannot include some labor in Level 2. Package size in level 3 should follow the same guidelines as level 2.

d. **Program Goals.** ~~See Level 2. Goals to be used for this submission are completion of 80% of standard permits within 120 days and 95% of all actions within 60 days. Districts should identify the one Permit Evaluation Branch labor/operations package that allows these goals to be met. The package narrative should state "GOALS MET." This assumes that this package and all higher priority packages in the submission are cumulatively required to meet the goals.~~

F-1.8. **Output measures.** All 15.1 packages with labor require that the number of regulatory branch FTEs covered by the package be entered as an output measure. Use of the FTE output measure is optional for 15.2 package as it will often not be appropriate. No FTEs need be entered for 15.3 work as no regulatory branch FTEs are affected. Enter in tenths, i. e., enter 1 for .1; enter 11 for 1.1. It is likely that some of the 15.1 packages in level 3, for office operations without labor costs, will have zero entered for the FTE output indicator. **IMPORTANT:** In order to insure that labor packages are funded, districts should be certain that the appropriate number of FTEs is reflected; a zero will result in a package being ranked below most labor packages and possibly not being funded. Division Offices should check FTE output indicators thoroughly.

F-1.9. **Points of Contact.** Questions pertaining to policies, procedures, or format of the Regulatory Program activity should be referred to HQUSACE (CECW-OR), telephone 202-761-1787, FAX 202-761-4054 or 5096. Questions regarding ADP input for the same activity should be referred to HQUSACE (CECW-BC), telephone 202-761-1778.

F-1.10. **Submission Requirements.** The suspense date for submission of required materials from divisions is 15 June 2000; the suggested suspense date for district input to divisions is 15 May 2000.

F-1.11. **Five Year Program.** A five year regulatory program without dollar constraints will be developed based on resource needs and projected work effort. A dollar figure only will be submitted for each of the five regulatory categories for PY+1 through PY+4. Figures should be reasonable and should assume a continued emphasis on wetlands protection and meeting the 60- and 120-day goals. Increased contracting, where appropriate, should be assumed.

F-1.12. **Funding & Staffing Summary.** Each district should prepare and submit electronically to its division office the funding and staffing information in Table F-1. Divisions should forward these to CECW-OR electronically and also prepare and submit a division-level Table F-1. The division table will sum district amounts for each category and level (cumulatively; not by district). Divisions should add the division office amounts for Appeals to the summary table.

| TABLE F-1 | | | | | |
|--|-------|-----------|-------|-----------|-------|
| DISTRICT/DIVISION _____ | | | | | |
| FUNDING & STAFFING SUMMARY (\$000/FTEs) | | | | | |
| Activity | Level | | | | |
| | 1 | 2 | 3 | | |
| | Total | Increment | Total | Increment | Total |
| Funding | | | | | |
| Permit Evaluation | | | | | 1,850 |
| | | | | 230 | |
| | | | 1,620 | | |
| | 1,400 | 220 | | | |
| Enforcement | | | | | 690 |
| | | | | 150 | |
| | | | 540 | | |
| | 440 | 100 | | | |
| Studies | | | | | 200 |
| | | | | 50 | |
| | | | 150 | | |
| | 100 | 50 | | | |
| Other Navigation Regulations | | | | | 0 |
| | | | | 0 | |
| | | | 0 | | |
| | 0 | 0 | | | |
| EISs | | | | | 60 |
| | | | | 0 | |
| | | | 60 | | |
| | 60 | 0 | | | |
| Appeals | | | | | 50 |
| | | | | 20 | |
| | | | 30 | | |
| | 0 | 30 | | | |
| Total | | | | | 2,850 |
| | | | | 450 | |
| | | | 2,400 | | |
| | 2,000 | 400 | | | |
| Staffing | | | | | |
| All | | | | | 21.5 |
| | | | | 2 | |
| | | | 19.5 | | |
| | 17 | 2.5 | | | |

Example

APPENDIX G
REVOLVING FUND
PLANT REPLACEMENT AND IMPROVEMENT PROGRAM (PRIP)
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APPENDIX G
PLANT, REVOLVING FUND
PLANT REPLACEMENT AND IMPROVEMENT PROGRAM (PRIP)
(RCS CECW-D-1)

G-1.1. Purpose and Scope. This appendix provides policy and general procedural guidance for Plant Replacement and Improvement Program (PRIP) development. To provide a uniform approach for program development and justification, the various plant items have been grouped into categories. Guidance for the electronic transmission of automated data for submittal of limited program recommendations is contained in the 1130 series of Engineer Regulations (ERs). Procedures for preparing input, for generating these reports, and for updating data are also included in the ER 1130 series. From time to time, additional detailed guidance will be provided by CERM-B in supplemental memoranda.

G-1.2. Program Development Concepts.

a. **Categories.** All plant items should be identified by category. Detailed definitions for the categories and subcategories can be found in Chapter 15, ER 37-2-10, Accounting and Reporting Civil Works Activities. The categories and subcategories authorized for use with this program submission are as follows:

| Category/Subcategory Title | Category/Subcategory Code |
|--|---------------------------|
| Land | 00 |
| Structures | 10 |
| Aircraft | 20 |
| Dredges | 30 |
| Other Floating Plant | 40 |
| Total Mobile Land Plant | 50 |
| Passenger Vehicles | 5V |
| Other Mobile Land Plant | 5X |
| Total Fixed Land Plant | 60 |
| Communications Equipment | 6C |
| Other Fixed Land Plant | 6X |
| Tools, Office Furniture, and Equipment | 70 |
| Software | 80 |
| Total Automatic Data Processing Hardware | 90 |
| Computers and Peripherals | 9A |
| Computer Aided Design and Drafting | 9D |
| Water Control Data Systems | 9W |

b. **Major and Minor Items.** For programming purposes all items of plant will be classified as either major or minor items. Major Items will be further classified as either new or continuing items.

(1) **Major Items.** New Major Items consist of those items which exceed HQUSACE authority and which require submittal through the Assistant Secretary of the Army (CW) to the Office of Management and Budget (OMB) and the Congressional Committees on Appropriations for concurrence. The limit of Chief of Engineers authority is \$700,000. However, for purposes of the FY 02 program submission, all new requirements estimated to cost over \$525,000 will be treated as New Major Items. Continuing Major Items consist of those acquisitions costing more than \$700,000 which were previously submitted to and concurred in by OMB; and authorized by the Congressional committees. An update shall be submitted on all continuing major items with scheduled expenditures in FY 01 and/or FY 02. In the absence of Congressional action on the current year appropriations, the President's current year program will be used along with the assumption that the program request for continuing items and new starts will be enacted by 1 October of the current year.

(2) **Minor Items.** For FY02, minor items are those items which exceed the capitalization threshold of \$25,000 but which do not exceed the Chief of Engineers authority level.

G-1.3. **Program Guidance.** Major Subordinate Command (MSC) Commanders will develop and submit a total PRIP for their command to include district requirements. Tabulation of program requirements will reflect the total MSC program and will show both MSC and district priorities for each item of plant. Each item of plant (major and minor) shall be submitted with full justification. This justification shall be submitted on ENG Form 4613-R for major items and ENG Form 4943-R for minor items. Electronic facsimiles of these forms are acceptable. In addition, major item new starts proposed for FY 02 shall be accompanied by economic and affordability analyses as specified in CECW-BA Memorandum dated 10 March 94, Subject: Revised Submittal Requirements for Plant Replacement and Improvement Program (PRIP) Major Item New Starts. A three year PRIP will be submitted annually (15 October) showing the current year, the program year, and the follow-on two out-years using ENG Form 1978-R or an approved electronic facsimile. The three year PRIP shall be updated only after the mid-year review at the end of the second fiscal quarter or whenever significant changes occur. A copy of the semiannual update and changes shall be forwarded to CERM-B not later than 15 April.

G-1.4. **Submission Requirements and Dates.** See Table 2 of the main part of this EC.

APPENDIX H
AUTOMATION COSTS
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APPENDIX H AUTOMATION COSTS

H-1.1. **Background.** House Report 103-135, June 17, 1993, accompanying the Energy and Water Development Appropriations Bill, 1994, directs the Corps to "provide separate and distinct data for automation costs" in future program requests. The basis for this request is the Committee's belief that "the cost attributable to the development and implementation of automated programs of the Corps of Engineers is entirely unreasonable." In accordance with this direction, the Civil Works Directorate has provided Congress with a display of estimated automation costs with its FY95-01 program submissions. These displays have divided automation costs into three main categories: hardware, software (automated information systems), and personnel.

For FY01, the primary sources of data on estimated hardware costs were Plant Replacement and Improvement Program (PRIP) three-year plans (for minor items), PRIP major item new start requests and continuing major item updates, and the Information Technology Investment Portfolio System (ITIPS) which is used for planning, programming and tracking information technology (IT) investments, and includes funding requirements and histories. Personnel costs were retrieved, by activity, from the Automated Civilian Personnel System (ACPERs).

H-1.2. **Program Development Concepts.** For FY02, the Corps will continue to provide a display similar to that of prior years, dividing automation costs into the categories of hardware, software and personnel.

For FY 01, we grouped hardware acquisition costs in terms of the following IT classifications:

- automated engineering tools;
- office automation and other general purpose;
- communications;
- and automated information systems.

Additionally, we distinguished between items proposed for PRIP acquisition (i. e., items supporting more than one project or program and costing more than \$25,000), also displayed under the Revolving Fund section of the program; and items costing less than \$25,000, and expensed, or acquired using specific study, project or program funds.

For FY00, AIS were grouped as Corps-wide or local. Corps-wide systems were further grouped under functions supported, such as, engineering, construction, and operations and maintenance functions. Local systems were grouped by MSC.

H-1.3. **Program Guidance.** ITIPS must be maintained up-to-date and reflect your best estimate of what actual requirements will be because it is being used as the data source for the estimate of our automation costs which is going to Congress. The PRIP Three Year Plan remains primarily a planning tool, but since the data in it is used to prepare our automation costs estimate it is important that it too reflect your best estimate of what actual requirements will be.

H-1.4. **Submission Dates and Requirements.**

a. **Information Technology Investment Portfolio System.** In the case of the ITIPS, which is continually available for updating, the most important data elements for the Civil Works automation budget are FY 02 asset acquisition plans implicit within the RSMS_ASSET tables and the FY 02 fund source, operation and

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support costs, in-house operation and support FTEs, program costs to complete, and in-house FTEs to complete requirements in the AIS BUDGET tables. ~~ITIPS has been revised and deployed in the Headquarters so that it captures more detailed cost information for both program and operation and support, by fiscal year. The enhanced version of ITIPS will be deployed Corps-wide in the near future.~~ Other information which may have a bearing on the FY 02 costs should be included in the "Comments" field. Please ensure that the ITIPS is updated continually. (In accordance with ER 25-1-2, the functional proponent has Life Cycle Management of Information Systems (LCMIS) responsibility for any AIS. Although this party may not be responsible for entering data into the ITIPS, it is responsible for the accuracy of the data.)

b. **PRIP Three-year Plan.** A new PRIP Three-year Plan must be submitted annually on 15 Oct, and should be reviewed for possible revision no later than 15 April. However, a revised plan can be submitted at any time. Please ensure that your current PRIP Three-year Plan contains accurate FY 02 estimates for Categories 80 (Software) and 90 (Hardware).

APPENDIX I
FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM (FUSRAP)
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ILLUSTRATIONS

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APPENDIX I
FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM (FUSRAP)

I-1.1. **Applicability.** This appendix provides program guidance and procedures for all activities in the Formerly Utilized Sites Remedial Action Program (FUSRAP) appropriation.

I-1.2. **Multi-year Program.**

a. **Overview and objectives.** The major objectives of the FUSRAP program are to evaluate and remediate sites identified by the Department of Energy (DOE) as suitable for remediation under FUSRAP. Each FUSRAP division's multi-year program should be developed and conducted in such a manner that projects are completed as soon as possible and at the lowest cost consistent with cleanup criteria that is fully protective of human health and the environment, responsive to regulatory and community interests, and in accordance with land use requirements.

b. **Program Ceilings.** Illustration I-1.2 provides a listing of ceilings for FY 02-11. These ceilings reflect the decisions reached during the program development meeting in July 1999, FY 00 reprogramming actions, cost and schedule changes as of April 2000 recommended by FUSRAP divisions/districts, and adjustments for Office of Management and Budget (OMB) ceiling increases, starting in FY 03. These are the same ceilings provided in January 1999, which were based on each division's share of the remaining program. HQUSACE is in the process of drafting a mechanism for prioritizing work within the program, which can be utilized to develop new ceilings based on guidance from the Office of Management and Budget contained in the passback to the FY 00 program, and other relevant considerations. Coordination of this draft with district and division FUSRAP program managers will be done in the near future. It is critical that the Corps finalize an outyear program based on the new ceiling of \$150 million and defensible in terms of the OMB's criteria prior to defending the FY 02 to OMB in September 2000.

c. **Baseline Level.** (PRISM LVL: C) Each FUSRAP division will submit a multi-year program consisting of continuing FUSRAP sites or new sites which have already been designated as eligible for cleanup under FUSRAP by the Department of Energy. This multiyear program should be consistent with the program developed in July 1999 which was modified to reflect cost and schedule changes as of April 2000 recommended by FUSRAP divisions/districts, allocation of FY 00 funds, the project completion dates provided for the record to Congress in conjunction with the defense of the FY 01 program, permit completion of all sites by the end of Fiscal Year 2011 and which reflects the application of the priorities in I-1.3, assuming constrained funding of \$150 million per year, consistent with the expenditure and the program ceilings for FY 02 in Illustration I-1.2.

d. **Capability Level.** Each FUSRAP Division will submit a multi-year program consisting of continuing FUSRAP sites which will complete all sites as soon as possible, considering only the division's capacity to accomplish the work.

I-1.3. **Prioritization.** Your baseline multiyear program should be developed in accordance with the following priorities:

- demonstrable threat to health, safety, or the environment;
- potential threat to health, safety or the environment;
- Federal Facility Agreements (FFA) or other legal/contractual/regulatory requirements;
- completion of current stage (RI/S, EE/CA, &c);
- completion of the project;

- efficient design/construction schedule;
- local support; and
- potentially responsible party issues.

I-1.4. **Program Phases.**

a. **Pre-Construction/Implementation.**

(1) **Preliminary Assessment (PA).** A PA is a limited-scope investigation to collect readily available information about a site and its surrounding area. The PA is designed to distinguish, based on limited data, between sites that pose little or no threat to human health and the environment and sites that may pose a threat and require further investigation. The PA also identifies sites requiring assessment for possible emergency response actions.

(2) **Site Investigation (SI).** SI is an on-site inspection to determine whether there is a release or potential release and the nature of the associated threats. The purpose is to augment the data collected in the preliminary assessment and to generate, if necessary, sampling and other field data to determine if further action or investigation is appropriate.

(3) **Remedial Investigation (RI).** RI is the process undertaken to determine the nature and extent of the problem presented by a release which emphasizes data collection and site characterization. The remedial investigation is generally performed concurrently and in an interdependent fashion with the feasibility study.

(4) **Feasibility Study (FS).** FS is a study undertaken to develop and evaluate alternatives for remedial action.

(5) **Engineering Evaluation/Cost Analysis (EE/CA).** This document is prepared in the case of a non-time critical removal action. The document takes the place of the RI/FS that is prepared for a full remedial action. The EE/CA is an analysis of removal alternatives and must satisfy environmental review and administrative record requirements, and provide a framework for evaluating and selecting alternative solutions.

(6) **Record of Decision (ROD).** The ROD is a document prepared in accordance with the requirements of 40 CFR 1505.2 that provides a concise public record of the agency's decision on a proposed action, identifies alternatives considered in reaching the decision, the environmentally preferable alternative(s), factors balanced by the agency in making the decision, and mitigation measures and monitoring to minimize harm.

(7) **Remedial Design (RD).** RD is an engineering phase that follows the Record of Decision when technical drawings and specifications are developed for subsequent remedial action.

b. **Remedial Action (RA).** RA is the actual construction and implementation of a remedial design that results in long-term site cleanup.

I-1.5. **Program Considerations.**

a. Program amounts should be based on the PY-1 program when applicable, as shown on Illustration I-1.2. No assumptions should be made regarding additional PY-2 work allowances which might be provided to

individual projects, beyond the amounts shown on Illustration I-1.2. Cost estimates and schedules should to the greatest extent possible be consistent with cost estimates for a baseline remediation in the 90-day report to Congress, but in every instant must be consistent with the cost estimate prepared in accordance with CECW-B/CEMP-R memorandum dated 4 Feb 98, subject: Formerly Utilized Site Remedial Action Program (FUSRAP) Project Baseline Cost Verification.

b. Costs estimates and schedules presented to Congress should be considered an upper limit and where possible the remediation should be concluded sooner and at lower cost.

c. Cost estimates should not include an allowance for inflation.

I-1.6. Submission Requirements.

a. **Justifications.** Supporting data for each site in the FUSRAP Division's program will consist of a Justification Sheet, see Illustration I-1.1. The Justification Sheets must be typed on standard size paper, 8 inches by 11 inches, should be right and left justified Word 6.0/95, or less, or WordPerfect 6.0, or less, documents at 6 lines per inch using landscape 12 pitch font; Prestige Elite is the preferred typeface. The typed material must be confined to 6 inches vertically and 10 inches horizontally, leaving one half inch margins on the left and right sides and 1 inch margins on the top and bottom. The appropriation title and division must be shown as the first line in the body of the first page. Do not underline any headings. The district must be identified under the site name. Justifications are to be submitted electronically as Word 6.0/95, or less, or WordPerfect 6.0, or less, documents to HQUSACE CECW-BA.

b. **ADP.** PRISM has been modified to accommodate FUSRAP data program entry.

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ILLUSTRATION I-1.1
FORMERLY UTILIZED SITES REMEDIAL ACTION PROGRAM
JUSTIFICATION

APPROPRIATION TITLE: Formerly Utilized Sites Remedial Action Program, Fiscal Year 2002

Division _____

| Site | Total Estimated Federal Cost \$ | Allocation Prior to FY 2000 \$ | Allocation FY 2000 \$ | Requested Allocation FY 2001 \$ | Additional to Complete After FY 2001 \$ |
|---------------------------|--|---|-----------------------------|--|--|
| Site name EFG District | 100,000 | 0 | 0 | 100,000 | 100,000 |

Furnish a brief description of the site, including location, size, ownership, and nature of contamination. Cite any matters known to be of concern to Congress. Describe briefly the general the general scope and key areas of concern that were or are being addressed, probable solutions, and the work to be performed in the budget year. Provide any pertinent information concerning coordination with Federal and state agencies, and local communities. Identify Potentially Responsible Parties (PRP), if any, and status of PRP actions.

Describe what FY 2001 funds will be used for, and what work is scheduled with requested FY 2002 funds.

State month and year when the project is scheduled for completion.

ILLUSTRATION I-1.2

PROGRAM CEILINGS
(\$K)

| MSC | Fiscal Year | | | | | | | | | | | |
|------------|-------------|--------|--------|--------|--------|--------|--------|--------|---------|---------|---------|-------|
| | 00 | 01 | 02 | 03 | 04 | 05 | 06 | 07 | 08 | 09 | 10 | 11 |
| LRD | 40,000 | 40,661 | 43,000 | 49,000 | 44,000 | 47,000 | 48,000 | 54,000 | 118,000 | 127,000 | 111,000 | 4,000 |
| MVD | 45,000 | 55,004 | 54,000 | 51,000 | 56,000 | 57,000 | 60,000 | 58,000 | 39,000 | 2,000 | 1,000 | |
| NAD | 65,000 | 44,335 | 53,000 | 52,000 | 55,000 | 55,000 | 55,000 | 55,000 | 14,000 | 3,000 | 2,000 | 1,000 |